

Ministerial Strategic Group for Health and Community Care

Integration Review Leadership Group

Self-evaluation

For the Review of Progress with Integration of Health and Social Care

March 2019

MINISTERIAL STRATEGIC GROUP FOR HEALTH AND COMMUNITY CARE (MSG) REVIEW OF PROGRESS WITH INTEGRATION OF HEALTH AND SOCIAL CARE - SELF EVALUATION

There is an expectation that Health Boards, Local Authorities and Integration Joint Boards should take this important opportunity to collectively evaluate their current position in relation to the findings of the MSG review, which took full account of the Audit Scotland report on integration published in November 2018, and take action to make progress. This evaluation should involve partners in the third and independent sectors and others as appropriate to local circumstances. This template has been designed to assist with this self-evaluation.

To ensure compatibility with other self-evaluations that you may be undertaking such as the Public Services Improvement Framework (PSIF) or those underpinned by the European Foundation for Quality Management (EFQM), we have reviewed examples of local self-evaluation formats and national tools in the development of this template. The template is wholly focused on the 25 proposals made in the MSG report on progress with integration published on 4th February, although it is anticipated that evidence gathered and the self-evaluation itself may provide supporting material for other scrutiny or improvement self-evaluations you are, or will be, involved in.

Information from local self-evaluations can support useful discussions in local systems, sharing of good practice between local systems, and enable the Integration Leadership Group, chaired by the Scottish Government and COSLA, to gain an insight into progress locally.

In completing this template please identify your rating against each of the rating descriptors for each of the 25 proposals except where it is clearly marked that that local systems should not enter a rating. Reliable self-evaluation uses a range of evidence to support conclusions, therefore please also identify the evidence or information you have considered in reaching your rating. Finally, to assist with local improvement planning please identify proposed improvement actions in respect of each proposal in the box provided. Once complete, you may consider benchmarking with comparator local systems or by undertaking some form of peer review to confirm your findings.

We greatly appreciate your assistance in ensuring completion of this self-evaluation tool on a collective basis and would emphasise the importance of partnership and joint ownership of the actions taken at a local level. **Please share your completed template with the Integration Review Leadership Group by 15th May 2019 – by sending to Kelly.Martin@gov.scot**

It is our intention to request that we repeat this process towards the end of the 12 month period set for delivery of the all of the proposals in order that we can collectively demonstrate progress across the country.

**Thank you.
Integration Review Leadership Group
MARCH 2019**

Features supporting integration



Name of Partnership	Dumfries and Galloway Health and Social Care Partnership
Contact name and email address	Julie White, Chief Officer Julie.white4@nhs.net
Date of completion	13 May 2019

Key Feature 1 Collaborative leadership and building relationships				
Proposal 1.1 All leadership development will be focused on shared and collaborative practice.				
Rating Descriptor	Not yet established	Partly established	Established	Exemplary
Indicator	Lack of clear leadership and support for integration.	Leadership is developing to support integration.	Leadership in place has had the ability to drive change with collaboration evident in a number of key areas. Some shared learning and collaborative practice in place.	Clear collaborative leadership is in place, supported by a range of services including HR, finance, legal advice, improvement and strategic commissioning. All opportunities for shared learning across partners in and across local systems are fully taken up resulting in a clear culture of collaborative practice.
Our Rating			✓	
Evidence / Notes	<p>The IJB has taken a leadership position by taking part and contributing to the local Community Planning Partnership. The IJB's Strategic Plan supports the Local Outcome Improvement Plan (LOIP).</p> <p>Local Authority representation on the IJB is cross-party. The IJB has good representation on the NHS Board. An agreement has been reached regarding full Council engagement in relation to full consultation or areas of significant change being directed by the IJB.</p> <p>The health and social care partnership has continued to work towards developing a positive workplace culture by focusing on leadership and good communication and conversation skills. Managers and leaders have been supported to develop towards the agreed ideal culture, based on constructive behaviours such as taking responsibility, developing others, working co-operatively and pursuing excellence. Staff have been taking part in a range of programmes including ASPIRE to Lead, Leadership 3 and Good Conversations training.</p> <p>The IJB and the senior management team take part in regular shared workshops to support the development of the partnership. Past workshops have included: Workforce development, Developing a New Strategic Commissioning Plan, Housing, Performance, Audit Scotland, Finance, Business Transformation and Co-production methodology.</p>			

	<p>The IJB is supported by a delegated Strategic Planning, Commissioning and Performance team.</p> <p>The IJB has undertaken very positive development work towards building relationships and collaborative leadership roles. The Dumfries and Galloway Organisational Development team is about to deliver the 'You As a Collaborative Leader' course, developed by NES and delivered locally.</p>
<p>Proposed improvement actions</p>	<p>Set up a regular forum for discussion between IJB Chair and Vice Chair, Chief Officer, Local Authority Leader and Deputy Leader, NHS Board Chair and Vice Chair and Chief Executives of the Local Authority and NHS Board. First meeting of this forum took place on 4 April 2019.</p> <p>Support 'Working Well' actions in relation to workplace cultures and expand across whole of Partnership.</p> <p>Establish improved links with the work of other Partnership agencies, such as developments in public protection, community development and housing.</p> <p>Ensure that papers developed for IJB committees contain evidence of appropriate consultation and wider collaboration with IJB partners or can demonstrate clear reasons why this is not required including clarification on level of consultation which is expected.</p> <p>Develop specific development programme for substitute IJB members and further develop the new IJB members' induction programme.</p>

Proposal 1.2				
Relationships and collaborative working between partners must improve				
Rating	Not yet established	Partly established	Established	Exemplary
Indicator	Lack of trust and understanding of each other's working practices and business pressures between partners.	Statutory partners are developing trust and understanding of each other's working practices and business pressures.	Statutory partners and other partners have a clear understanding of each other's working practices and business pressures – and are working more collaboratively together.	Partners have a clear understanding of each other's working practices and business pressures and can identify and manage differences and tensions. Partners work collaboratively towards achieving shared outcomes. There is a positive and trusting relationship between statutory partners clearly manifested in all that they do.
Our Rating			✓	
Evidence / Notes	<p>Integrated working is becoming established throughout the Partnership not just at IJB level:</p> <ul style="list-style-type: none"> - The Senior Management Team is an integrated management team, sharing the challenges, priorities and responsibility for delivering services. The roles of senior leads cross organisational boundaries. The SMT does not however include representation from the third sector and independent sector. - Partnership groups include representatives from across sectors. For example the Integrated Organisational Development Steering Group and the Public Protection Committee include representatives from health, social work, third and independent sectors. - Localities are using the One Team approach, where professionals support each other in their roles, to develop new sustainable ways of working. 			
Proposed improvement actions	<p>Examine opportunities for reduction in duplication of roles and responsibilities through effective collaboration and team working. For example developing neighbourhood team models for community health and social care.</p> <p>Evaluate the level of corporate support provided by the parent bodies to support the functions of the IJB. Examples include finance, HR, admin support, communications and strategic planning, commissioning and performance.</p> <p>Review the relationship of the Partnership with the other local authority directorates that contribute towards the delivery of the 9 National Health and Wellbeing Outcomes, such as the Communities Directorate.</p> <p>Review relationship of the Health and Social Care Partnership as part of the Community Planning Partnership at both strategic</p>			

	<p>and management levels.</p> <p>Review the effectiveness of communications with other partnership organisations.</p> <p>The Health and Social Care Partnership recognises that they need to develop further relationships with representatives of the Third and Independent sector all levels of the Partnership, from operational to strategic. Third Sector Dumfries and Galloway has developed a range of actions which they feel could address the current weaknesses within the partnership, and these have been submitted for consideration.</p>
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Proposal 1.3				
Relationships and partnership working with the third and independent sectors must improve				
Rating	Not yet established	Partly established	Established	Exemplary
Indicator	Lack of engagement with third and independent sectors.	Some engagement with the third and independent sectors.	Third and independent sectors routinely engaged in a range of activity and recognised as key partners.	Third and independent sectors fully involved as partners in all strategic planning and commissioning activity focused on achieving best outcomes for people. Their contribution is actively sought and is highly valued by the IJB. They are well represented on a range of groups and involved in all activities of the IJB.
Our Rating		✓		
Evidence / Notes	<p>The IJB includes representation from the third and independent sectors via Third Sector Dumfries and Galloway and Scottish Care respectively. A Carers representative is also present alongside a service user representative. The IJB extends an open invitation to these members to all committees of the IJB.</p> <p>Localities have third and independent sector representatives as part of their leadership teams. The health and wellbeing teams within each locality have strong relationships with third and independent sector colleagues.</p> <p>Third and independent organisations are actively supporting many of the programmes of work across the Partnership including, but not exclusively:</p> <ul style="list-style-type: none"> - the development of Self Directed Support Option 2 (where people choose the organisation they want to be supported by 			

	<p>and the Partnership transfers funds to that organisation, for care and support to be arranged in line with the personal plan)</p> <ul style="list-style-type: none"> - supporting social prescribing to improve people’s health and wellbeing - community development - independent advocacy - rolling out Anticipatory Care Plans (ACPs) - Carers support - making the best use of technology
<p>Proposed improvement actions</p>	<p>Organisational Development workstream are developing a programme for the whole partnership, not just the statutory sector.</p> <p>Evaluate the effectiveness of relationship with Third Sector, for example, contributions to the programme boards and other areas of influence.</p> <p>Evaluate the effectiveness of relationship with Independent Sector, for example, contributions to the programme boards and other areas of influence.</p> <p>Ensure learning, challenges and examples of good practice from beyond statutory sector are showcased and shared.</p> <p>Strategic Planning and Commissioning team to establish regular meetings with third and independent sectors to ensure opportunities to shape and influence strategy and commissioning.</p> <p>The IJB paper template should include a question about involvement of third and independent sector in the development of the paper.</p> <p>Continue to work with Third Sector Dumfries and Galloway and Scottish Care to establish clarity in relation to involvement of both sectors at strategic, tactical and operational levels. Proposals have been submitted by Third Sector Dumfries and Galloway to the Partnership to address partnership working at strategic, tactical and communications levels.</p>

**Key Feature 2
Integrated finances and financial planning**

**Proposal 2.1
Health Boards, Local Authorities and IJBs should have a joint understanding of their respective financial positions as they relate to integration**

Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	Lack of consolidated advice on the financial position of statutory partners' shared interests under integration.	Working towards providing consolidated advice on the financial position of statutory partners' shared interests under integration.	Consolidated advice on the financial position on shared interests under integration is provided to the NHS/LA Chief Executive and IJB Chief Officer from corresponding financial officers when considering the service impact of decisions.	Fully consolidated advice on the financial position on shared interests under integration is provided to the NHS/LA Chief Executive and IJB Chief Officer from corresponding financial officers when considering the service impact of decisions. Improved longer term financial planning on a whole system basis is in place.
Our Rating			✓	

Evidence / Notes

The IJB have established a Performance and Finance Committee where papers on the Partnership's financial position are regularly presented. These papers are shared with the NHS Board and the Local Authority.

The Chief Finance Officer of the IJB and the Director of Finance for the NHS Board are consolidated in one post.

Since the establishment of the Integration Authority and the IJB, additional services have been delegated to the IJB. During 2017/18 E-health, Strategic Planning and Commissioning and Resource Transfer were delegated.

Budgets are delegated by the partner organisations and ensuring transparency of resources some of the reporting continues to show this split, suggesting that the resource is not truly integrated.

The annual budget setting process builds in the changes in price and growth and cost pressures affecting the IJB.

Quarterly Review meetings are jointly chaired by CFO and CO, covering all IJB delegated areas with each General Manager.

	Issues that arise which impact on the delegated budgets are taken to Health & Social Care Management Team for discussion following comment and consultation with both partner's finance teams, this ensures shared interests and awareness of individual financial positions in the pursuit of integration are achieved.
Proposed improvement actions	<p>Continue to develop clear joint financial reporting and improve reporting at all levels within the partnership from locality level to IJB report.</p> <p>Review of financial aspects of integration scheme to assess whether there are future opportunities to further integrate resources through this route.</p>

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Proposal 2.2 Delegated budgets for IJBs must be agreed timeously				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	Lack of clear financial planning and ability to agree budgets by end of March each year.	Medium term financial planning is in place and working towards delegated budgets being agreed by the Health Board, Local Authority and IJB by end of March each year.	Medium term financial and scenario planning in place and all delegated budgets are agreed by the Health Board, Local Authority and IJB by end of March each year.	Medium to long term financial and scenario planning is fully in place and all delegated budgets are agreed by the Health Board, Local Authority and IJB as part of aligned budget setting processes. Relevant information is shared across partners throughout the year to inform key budget discussions and budget setting processes. There is transparency in budget setting and reporting across the IJB, Health Board and Local Authority.
Our Rating			✓	
Evidence / Notes	<p>A combined integrated draft finance plan setting out the overall delegated budget is included in the Strategic Plan for Dumfries and Galloway. The IJB agreed on 5 April 2018 that the Strategic Plan should be retained, restarting the relevant period at the date of this decision. The re-issued Strategic Plan included information from the updated draft finance plan.</p> <p>There are challenges around the different financial planning timeframes for Local Authority, NHS and Scottish Government which makes agreeing budgets in a timely way difficult. Budgets usually only consider the immediate future, not the longer term. The delegated budgets are set by Local Authority and NHS. If the IJB identifies that there is insufficient resource they must appeal to the partner bodies.</p> <p>The budget for 2019/20 was agreed at the IJB meeting on 3rd April 2019. Within the current constraints around the process for both the partner organisations budget setting processes it is not expected that timescales for budget setting can be brought forward.</p>			

Proposed improvement actions	<p>Engaging at an early stage to consider how financial gaps will be addressed.</p> <p>Review of in year position to reflect both 2019/20 challenges and also future years so that we move to a three year budgeting cycle.</p> <p>Development of financial frameworks for all of the major programmes of work to ensure financial implications of this work can be assessed at an early stage.</p> <p>Further discussions through Chief Finance Officer network to assess options for influencing budget decisions at national level and how this can support development of work around budget process.</p>
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Proposal 2.3				
Delegated hospital budgets and set aside budget requirements must be fully implemented				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	Currently have no plan to allow partners to fully implement the delegated hospital budget and set aside budget requirements.	Working towards developing plans to allow all partners to fully implement the delegated hospital budget and set aside budget requirements, in line with legislation and statutory guidance, to enable budget planning for 2019/20.	Set aside arrangements are in place with all partners implementing the delegated hospital budget and set aside budget requirements. The six steps for establishing hospital budgets, as set out in statutory guidance, are fully implemented.	Fully implemented and effective arrangements for the delegated hospital budget and set aside budget requirements, in line with legislation and statutory guidance. The set aside budget is being fully taken into account in whole system planning and best use of resources.
Our Rating				✓
Evidence / Notes	<p>For Dumfries and Galloway the entirety of hospital budgets are fully delegated to the partnership to ensure that decisions are taken on a whole systems basis. This was a decision made by the NHS Board at the outset of the partnership.</p> <p>Financial reports to IJB clearly set out Acute Services budgets. Transparency in use of resources across the partnership.</p>			
Proposed improvement actions	Continued/ongoing review of financial information support and reporting to be discussed with CFO and CO.			

Proposal 2.4 Each IJB must develop a transparent and prudent reserves policy				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	There is no reserves policy in place for the IJB and partners are unable to identify reserves easily. Reserves are allowed to build up unnecessarily.	A reserves policy is under development to identify reserves and hold them against planned spend. Timescales for the use of reserves to be agreed.	A reserves policy is in place to identify reserves and hold them against planned spend. Clear timescales for the use of reserves are agreed, and adhered too.	A clear reserves policy for the IJB is in place to identify reserves and hold them against planned spend and contingencies. Timescales for the use of reserves are agreed. Reserves are not allowed to build up unnecessarily. Reserves are used prudently and to best effect to support full implementation the IJB's strategic commissioning plan.
Our Rating			✓	
Evidence / Notes	<p>The Board has a reserve policy set out within its financial regulations.</p> <p>The only reserves which the IJB holds are for ring fenced/ earmarked reserves and are fully committed.</p>			
Proposed improvement actions	<p>It is proposed that improvements on reporting on reserves are reflected within the regular financial reporting to the IJB and its associated committees to ensure all members are fully aware of reserves held and the reasons for holding them.</p> <p>A further review of the existing reserves policy is proposed.</p> <p>Ensure all parties are aware of reason for reserves being held and provide reports as required.</p>			

Proposal 2.5				
Statutory partners must ensure appropriate support is provided to IJB S95 Officers.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	IJB S95 Officer currently unable to provide high quality advice to the IJB due to a lack of support from staff and resources from the Health Board and Local Authority.	Developments underway to better enable IJB S95 Officer to provide good quality advice to the IJB, with support from staff and resources from the Health Board and Local Authority ensuring conflicts of interest are avoided.	IJB S95 Officer provides high quality advice to the IJB, fully supported by staff and resources from the Health Board and Local Authority and conflicts of interest are avoided. Strategic and operational finance functions are undertaken by the IJB S95 Officer. A regular year-in-year reporting and forecasting process is in place.	IJB S95 Officer provides excellent advice to the IJB and Chief Officer. This is fully supported by staff and resources from the Health Board and Local Authority who report directly to the IJB S95 Officer on financial matters. All strategic and operational finance functions are integrated under the IJB S95 Officer. All conflicts of interest are avoided.
Our Rating			✓	
Evidence / Notes	<p>The Chief Finance Officer is fully supported through the partner organisations. Finance staff resources are made available from both NHS and Local Authority to deliver financial services. Overall capacity remains a challenge both in terms of ability to recruit to vacant posts with appropriate skills, but this is the same for both the partner organisations.</p> <p>Relationships and engagement across the finance teams remains strong.</p> <p>Regular financial reporting arrangements are in place and working well.</p> <p>Ongoing review of internal audit arrangements and closer working across the partner organisations has recognised the need for a joint audit across NHS, IJB and Local Authority for 2019/20.</p>			
Proposed Improvement actions	<p>Improve resource to support the CFO in relation to the Annual Accounts process.</p> <p>Review existing arrangements for support around risk management and assess options for moving forward.</p>			

Proposal 2.6**IJBs must be empowered to use the totality of resources at their disposal to better meet the needs of their local populations.**

Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	Total delegated resources are not defined for use by the IJB. Decisions about resources may be taken elsewhere and ratified by the IJB.	Total delegated resources have been brought together in an aligned budget but are routinely treated and used as separate health and social care budgets. The totality of the budget is not recognised nor effectively deployed.	Total delegated resources are effectively deployed as a single budget and their use is reflected in directions from the IJB to the Health Board and Local Authority.	Total delegated resources are effectively deployed as a single budget and their use is reflected in directions from the IJB to the Health Board and Local Authority. The IJB's strategic commissioning plan and directions reflect its commitment to ensuring that the original identity of funds loses its identity to best meet the needs of its population. Whole system planning takes account of opportunities to invest in sustainable community services.
Our Rating		✓		
Evidence / Notes	<p>For the most recent 2 financial quarters, the general manager for the Community Health and Social Care Directorate has been able to present a combined report on the financial position of localities.</p> <p>Resources delegated to the partnership at local level are able to be used flexibly across the partnership, with resources being used in service reviews across both organisations.</p> <p>Review of learning disabilities/ social care houses resulting in resource transferring to Local Authority to commission support in a different way.</p> <p>There are a number of examples of posts being used flexibly across either of partner organisations.</p> <p>There has been an internal audit of strategic planning and commissioning</p> <p>A range of benchmarking tools and data are used to monitor performance and delivery (Discovery/Integrated Resource Framework/Cost book/LFR03).</p> <p>Internal audit undertaken by Partnership in relation to governance arrangements of IJB, including financial governance.</p>			
Proposed improvement actions	<p>Develop clear commissioning intentions within the next strategic plan.</p> <p>Review of financial aspects of integration scheme to assess whether there are future opportunities to further integrate resources through this route.</p>			

Key Feature 3				
Effective strategic planning for improvement				
Proposal 3.1				
Statutory partners must ensure that Chief Officers are effectively supported and empowered to act on behalf of the IJB.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	Lack of recognition of and support for the Chief Officer's role in providing leadership.	The Chief Officer is not fully recognised as pivotal in providing leadership. Health Board and Local Authority partners could do more to provide necessary staff and resources to support Chief Officers and their senior team.	The Chief Officer is recognised as pivotal in providing leadership and is recruited, valued and accorded due status by statutory partners. Health Board and Local Authority partners provide necessary resources to support the Chief Officer and their senior team fulfil the range of responsibilities	The Chief Officer is entirely empowered to act and is recognised as pivotal in providing leadership at a senior level. The Chief Officer is a highly valued leader and accorded due status by statutory partners, the IJB, and all other key partners. There is a clear and shared understanding of the capacity and capability of the Chief Officer and their senior team, which is well resourced and high functioning.
Our Rating			✓	
Evidence / Notes	The Chief Officer heads an integrated senior management team that shares responsibilities, planning and organisation of delegated functions. The roles of senior managers cross traditional organisational boundaries. The chief officer is a member of both Council senior leadership team and NHS Board management team.			
Proposed improvement actions	Maintain and continue to develop the senior management team. Undertake the second stage of the joint internal audit of the effectiveness of the integration partnership.			

Proposal 3.2				
Improved strategic inspection of health and social care is developed to better reflect integration.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator				
Our Rating				
Evidence / Notes	NOT FOR LOCAL COMPLETION - NATIONAL INSPECTORATE BODIES RESPONSIBLE			

Proposal 3.3				
National improvement bodies must work more collaboratively and deliver the improvement support partnerships require to make integration work.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator				
Our Rating				
Evidence / Notes	NOT FOR LOCAL COMPLETION - NATIONAL BODIES RESPONSIBLE			

Proposal 3.4				
Improved strategic planning and commissioning arrangements must be put in place.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	Integration Authority does not analyse and evaluate the effectiveness of strategic planning and commissioning arrangements. There is a lack of support from statutory partners.	Integration Authority developing plans to analyse and evaluate the effectiveness of strategic planning and commissioning arrangements. The Local Authority and Health Board provide some support for strategic planning and commissioning.	Integration Authority has undertaken an analysis and evaluated the effectiveness of strategic planning and commissioning arrangements. The Local Authority and Health Board provide good support for strategic planning and commissioning, including staffing and resources which are managed by the Chief Officer.	Integration Authority regularly critically analyses and evaluates the effectiveness of strategic planning and commissioning arrangements. There are high quality, fully costed strategic plans in place for the full range of delegated services, which are being implemented. As a consequence, sustainable and high quality services and supports are in place that better meet local needs. The Local Authority and Health Board provide full support for strategic planning and commissioning, including staffing and resources for the partnership, and recognise this as a key responsibility of the IJB.
Our Rating			✓	
Evidence / Notes	<p>There are 10 strategic plan priorities, agreed through the Strategic Planning Group and reconfirmed during the review of the Strategic Plan (April 2018). By focusing on these priorities the Partnership is working towards delivering the 9 National Health and Wellbeing Outcomes.</p> <p>At strategic, tactical and operational levels these priorities and the National Health and Wellbeing Outcomes are being considered in the planning and delivery of services. Examples include:</p> <ul style="list-style-type: none"> • the IJB workforce plan, developed through the Integrated Partnership Forum, has become more closely aligned to the strategic plan • the Mental Health Strategy has developed a 3 year plan to deliver national priorities and aligned to the National Mental Health Strategy • outcome focussed planning is in development for community services based around the 9 National Health and Wellbeing Outcomes. 			

	<ul style="list-style-type: none"> performance frameworks are becoming more aligned to the National Health and Wellbeing Outcomes to demonstrate how they are being achieved
Proposed improvement actions	<p>Review the Partnerships' operational and business delivery plans to ensure these are aligned to the Strategic Plan and Directions.</p> <p>Develop a local version of the national Scottish Care forward looking plan, articulating the high level strategic challenges for the Third Sector, such as changes to registration processes and legislation.</p>

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Proposal 3.5 Improved capacity for strategic commissioning of delegated hospital services must be in place.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	No plans are in place or practical action taken to ensure delegated hospital budget and set aside arrangements form part of strategic commissioning.	Work is ongoing to ensure delegated hospital budgets and set aside arrangements are in place according to the requirements of the statutory guidance.	Delegated hospital budget and set aside arrangements are fully in place and form part of routine strategic commissioning and financial planning arrangements. Plans are developed from existing capacity and service plans, with a focus on planning delegated hospital capacity requirements with close working with acute sector and other partnership areas using the same hospitals.	Delegated hospital budget and set aside arrangements are fully integrated into routine strategic commissioning and financial planning arrangements. There is full alignment of budgets. There is effective whole system planning in place with a high awareness across of pressure, challenges and opportunities.
Our Rating				✓
Evidence / Notes	Set aside budgets are not a feature of the Dumfries and Galloway Integration Scheme. During 2017/18 the Strategic Planning and Commissioning and Performance and Intelligence service became a delegated function of the IJB.			
Proposed improvement actions	Review the role, remit and membership of the Strategic Planning Group to ensure effective involvement. Strategic Planning and Commissioning team to establish regular meetings with third and independent sectors to ensure opportunities to shape and influence strategy and commissioning.			

**Key Feature 4
Governance and accountability arrangements**

**Proposal 4.1
The understanding of accountabilities and responsibilities between statutory partners must improve.**

Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	No clear governance structure in place, lack of clarity around who is responsible for service performance, and quality of care.	Partners are working together to better understand the governance arrangements under integration to better understand the accountability and responsibilities of all partners.	Clear understanding of accountability and responsibility arrangements across statutory partners. Decisions about the planning and strategic commissioning of delegated health and social care functions sit with the IJB.	Clear understanding of accountability and responsibility arrangements and arrangements are in place to ensure these are reflected in local structures. Decisions about the planning and strategic commissioning of delegated functions sit wholly with the IJB and it is making positive and sustainable decisions about changing the shape of care in its localities. The IJB takes full responsibility for all delegated functions and statutory partners are clear about their own accountabilities.
Our Rating		✓		
Evidence / Notes	<p>As we have worked at delivering services through health and social care integration, our collective understanding of the governance arrangements has become more developed and nuanced. IJB members, senior managers and leaders from across the partnership have attended workshops exploring different aspects of governance such as Directions.</p> <p>Review of governance arrangements for IJB was undertaken in 2017 and produced a range of recommendations, of which all but two have now been implemented.</p> <p>Work is ongoing to further align internal audit arrangements between the parties.</p>			
Proposed improvement actions	<p>Set up a regular forum for discussion between IJB Chair and Vice Chair, Chief Officer, Local Authority Leader and Deputy Leader, NHS Board Chair and Vice Chair and Chief Executives of the Local Authority and NHS Board.</p> <p>Review latest audit report on delegated authorities and scheme of delegation and look to implement recommendations.</p> <p>Finalise governance paper which has been drafted by Chief Officer and engage with all parties on ensuring full understanding.</p> <p>Consider options for further internal audit review of arrangements.</p>			

Indicator 4.2				
Accountability processes across statutory partners will be streamlined.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	Accountability processes unclear, with different rules being applied across the system.	Accountability processes being scoped and opportunities identified for better alignment.	Accountability processes are scoped for better alignment, with a focus on fully supporting integration and transparent public reporting.	Fully transparent and aligned public reporting is in place across the IJB, Health Board and Local Authority.
Our Rating			✓	
Evidence / Notes	<p>IJB has clear scheme of delegation to committees.</p> <p>Integration scheme clearly sets out role of IJB with Health Board and Local Authority.</p> <p>Performance reporting for IJB sets out performance against 9 national Health and Wellbeing Outcomes and is reported publicly at annual reviews.</p> <p>Dumfries and Galloway partnership holds an annual public review with leaders from IJB, Health Board and Local Authority, scrutinising local performance. This provides opportunity to engage with public about performance. The annual review 2018 was streamed live online.</p>			
Proposed improvement actions	Undertake a review of governance processes.			

Proposal 4.3				
IJB chairs must be better supported to facilitate well run Boards capable of making effective decisions on a collective basis.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	IJB lacks support and unable to make effective decisions.	IJB is supported to make effective decisions but more support is needed for the Chair.	The IJB Chair is well supported, and has an open and inclusive approach to decision making, in line with statutory requirements and is seeking to maximise input of key partners.	The IJB Chair and all members are fully supported in their roles, and have an open and inclusive approach to decision making, going beyond statutory requirements. There are regular development sessions for the IJB on variety of topics and a good quality induction programme is in place for new members. The IJB has a clear understanding of its authority, decision making powers and responsibilities.
Our Rating			✓	
Evidence / Notes	<p>The Chair and Vice Chair of the IJB meet regularly with the Chief Officer to discuss IJB business. Pre meetings for all IJB meetings to ensure they are fully briefed. Chief Officer provides further briefings to Chair and Vice Chair (and IJB members) as appropriate.</p> <p>Governance officer present at all IJB meetings to ensure Chair is fully supported on governance aspects of decisions. Corporate support for the IJB chair is provided through the Chief Officer's team, such as developing templates and coordinating committees.</p> <p>There are regular development sessions for the IJB on variety of topics and a good quality induction programme is in place for new members.</p> <p>The Chair and Vice Chair of the IJB are members of the national IJB Chairs Group.</p>			

Proposed improvement actions	Undertake a review of the Strategic Planning Group (which has membership from key stakeholders across the partnership) to ensure effective relationship and communication with the IJB. Third Sector Dumfries and Galloway and the Independent sector will participate in this review if it is feasible.
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Proposal 4.4				
Clear directions must be provided by IJB to Health Boards and Local Authorities.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	No directions have been issued by the IJB.	Work is ongoing to improve the direction issuing process and some are issued at the time of budget making but these are high level, do not direct change and lack detail.	Directions are issued at the end of a decision making process involving statutory partners. Clear directions are issued for all decisions made by the IJB, are focused on change, and take full account of financial implications.	Directions are issued regularly and at the end of a decision making process, involving all partners. There is clarity about what is expected from Health Boards and Local Authorities in their delivery capacity, and they provide information to the IJB on performance, including any issues. Accountability and responsibilities are fully transparent and respected. Directions made to the Health Board in a multi-partnership area are planned on an integrated basis to ensure coherence and take account of the whole system.
Our Rating		✓		
Evidence / Notes	<p>IJB members, senior managers and leaders from across the partnership have attended workshops exploring the purpose and process for issuing directions.</p> <p>IJB papers template includes section relating to directions and a directions template has been developed.</p> <p>The annual performance report lists directions issued by the IJB as an end of year summary.</p>			
Proposed improvement actions	<p>Directions should be developed to include full financial and other resource implications where possible.</p> <p>Monitoring arrangements for the outcome of directions should be established and reported through committees/ IJBs as appropriate.</p> <p>Further understanding and expertise on directions should be developed with the IJB.</p>			

Proposal 4.5
Effective, coherent and joined up clinical and care governance arrangements must be in place.

Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	<p>There is a lack of understanding of the key role clinical and professional leadership plays in supporting safe and appropriate decision making is not well understood.</p> <p>Necessary clinical and care governance arrangements are not well established.</p>	<p>There is partial understanding of the key role clinical and professional leadership plays in supporting safe and appropriate decision making.</p> <p>Arrangements for clinical and care governance are not clear</p>	<p>The key role clinical and professional leadership plays in supporting safe and appropriate decision making is fully understood. There are fully integrated arrangements in place for clinical and care governance.</p>	<p>The key role clinical and professional leadership plays in supporting safe and appropriate decision making is fully understood.</p> <p>Arrangements for clinical and care governance are well established and providing excellent support to the IJB.</p> <p>Strategic commissioning is well connected to clinical and care governance and there is a robust process for sharing information about, for example, inspection reports findings and adverse events information, and continuous learning is built into the system.</p>
Our Rating			✓	
Evidence / Our Notes	<p>Clinical and Professional leads are IJB members including the Medical Director, Nurse Director and the Chief Social Work Officer.</p> <p>The IJB has established a Clinical and Care Governance committee that oversees the quality and safety of the functions delegated to the IJB.</p> <p>Workshop has taken place regarding the role of Clinical and Care Governance Committee and importance of clinical and professional leadership.</p>			
Proposed improvement actions	<p>Review role and remit of the Clinical and Care Governance Committee and links to the Healthcare Governance Committee and Social Work Committee.</p>			

Key Feature 5
Ability and willingness to share information

Proposal 5.1
IJB annual performance reports will be benchmarked by Chief Officers to allow them to better understand their local performance data.

Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	Work is required to further develop Integration Authority annual reports to improve consistency in reporting, better reflect progress and challenges in local systems, and ensure all statutory required information is reported on by July 2019.	Work is ongoing to further develop Integration Authority annual reports to improve consistency in reporting, better reflect progress and challenges in local systems, and ensure all statutory required information is reported on, by July 2019.	Integration Authority annual reports are well developed to reflect progress and challenges in local systems, and ensure all statutory required information is reported on, by July 2019. Some benchmarking is underway and assisting consistency and presentation of annual reports.	Integration Authority annual reports are well developed to reflect progress and challenges in local systems, to ensure public accessibility, and to support public understanding of integration and demonstrate its impact. The annual report well exceeds statutory required information is reported on. Reports are consistently well presented and provide information in an informative, accessible and readable format for the public.
Our Rating				✓

Evidence / Notes

Annual Performance reports are written for the public, using plain English, attractive graphics and people’s stories. The content includes progress and challenges, benchmarking and examples of learning, exceeding the statutory minimum content. An executive summary handout and short animated infographics for social media are also produced. In addition to annual reports, the partnership reports quarterly MSG outcomes, 6-monthly locality progress towards delivery of the 9 National Health and Wellbeing Outcomes and is migrating from quarterly performance reports towards a mid-year interim performance report.

All performance reports are published in the public domain on the Partnership’s website (www.dghscp.co.uk) after they have been through the governance process.

Dumfries and Galloway is the first partnership to hold an Annual Review in Public, based on the annual performance report.

	Open to the public, the venue rotates through the localities. Last year, the event was also live streamed.
Proposed improvement actions	<p>Continue to build on the success of previous annual performance reports and annual reviews in public.</p> <p>Continue to develop the performance framework to reflect the outcomes and commitments of the Partnership.</p> <p>Continue to explore ways of improving public engagement with IJB.</p>

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Proposal 5.2				
Identifying and implementing good practice will be systematically undertaken by all partnerships.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	Work is required to improve the Integration Authority annual report to identify, share and use examples of good practice and lessons learned from things that have not worked.	Work is about to commence on development of the annual report to enable other partnerships to identify and use examples of good practice. Better use could be made of inspection findings to identify and share good practice.	The Integration Authority annual report is presented in a way that readily enables other partnerships to identify, share and use examples of good practice and lessons learned from things that have not worked. Inspection findings are routinely used to identify and share good practice.	Annual reports are used by the Integration Authority to identify and implement good practice and lessons are learned from things that have not worked. The IJB's annual report is well developed to ensure other partnerships can easily identify and good practice. Inspection findings and reports from strategic inspections and service inspections are always used to identify and share good practice. All opportunities are taken to collaborate and learn from others on a systematic basis and good practice is routinely adapted and implemented.
Our Rating			✓	
Evidence / Notes	<p>The annual performance reports highlight areas of good practice and challenges. These are included in “Key Messages” towards the start of each chapter, or in coloured panels titled “How we are getting on” and “What people tell us”. The annual reports also include a chapter listing inspections that have been carried out during the financial year and their recommendations.</p> <p>Inspection findings and reports from strategic inspections and service inspections are discussed at relevant committees. The action plan following the joint inspection for older adults continues to influence practice. An audit of case notes, following the Care Inspectorate methodology, is being undertaken by joint health and social care reviewers in May 2019.</p> <p>The production of the Annual Performance Report is a lengthy process with a tight deadline. This can make it difficult for Third</p>			

	Sector DG to consult with its members and provide feedback prior to publication.
Proposed improvement actions	<p>Share the lessons learned following the audit of case notes in May 2019.</p> <p>Re-launching “On the Ground” communication stream to all people working within the Partnership.</p> <p>Ensuring the implementation and delivery of the Action Plan associated with implementation of the Information Sharing Plan, monitored through the Audit and Risk Committee.</p> <p>Undertake to review performance reports from other partnerships to identify areas of good practice that may be implemented locally.</p>

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Proposal 5.3				
A framework for community based health and social care integrated services will be developed.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator				
Our Rating				
Evidence / Notes	NOT FOR LOCAL COMPLETION - NATIONAL BODIES RESPONSIBLE			

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Key Feature 6 Meaningful and sustained engagement				
Proposal 6.1 Effective approaches for community engagement and participation must be put in place for integration.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	There is a lack of engagement with local communities around integration.	Engagement is usually carried out when a service change is proposed.	Engagement is always carried out when a service change, redesign or development is proposed.	Meaningful engagement is an ongoing process, not just undertaken when service change is proposed. Local communities have the opportunity to contribute meaningfully to locality plans and are engaged in the process of determining local priorities.
Our Rating		✓		
Evidence / Notes	<p>The Partnership recognises the need to have effective community engagement and participation. This topic has been discussed regularly at IJB board meetings. The IJB holds its public board meetings at different locations across Dumfries and Galloway to increase their accessibility for people.</p> <p>Senior managers and leaders from across the partnership have taken part in training and workshops on approaches to community engagement and participation including co-production workshops and attending training on consultation provided by the Consultation Institute.</p> <p>Building on the learning from consultation and engagement that has already happened, the Partnership has developed a consultation framework and is establishing a consultation working group to support effective consultation.</p> <p>The Strategic Planning Group includes representatives from a broad range of groups and organisations from across Dumfries and Galloway including representatives for Carers, third sector, independent sector, staff working for the partnership and the public.</p> <p>The role of Third Sector Dumfries and Galloway as the Third Sector Interface for D&G is defined by the Scottish Government as the agency for community engagement in community planning and integration strategies. Third Sector Dumfries and Galloway is funded by Scottish Government to deliver on a range of outcomes in the National Performance Framework. We have a skilled and experienced team who have worked with communities across D&G for many years.</p>			
Proposed improvement actions	<p>Implement the consultation framework</p> <p>Implement a Partnership consultation working group, with representatives from all sectors</p>			

Share the learning from co-production labs (model projects)

Review the relationship between the IJB and the Strategic Planning Group

Review the role, remit and membership of the Strategic Planning Group to ensure effective involvement

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Proposal 6.2				
Improved understanding of effective working relationships with Carers, people using services and local communities is required.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	Work is required to improve effective working relationships with service users, carers and communities.	<p>Work is ongoing to improve effective working relationships with service users, carers and communities.</p> <p>There is some focus on improving and learning from best practice to improve engagement.</p>	<p>Meaningful and sustained engagement with service users, carers and communities is in place.</p> <p>There is a good focus on improving and learning from best practice to maximise engagement and build effective working relationships.</p>	<p>Meaningful and sustained engagement with service users, carers and communities is in place. This is given high priority by the IJB.</p> <p>There is a relentless focus on improving and implementing best practice to maximise engagement. There are well established and recognised effective working relationships that ensure excellent working relationships.</p>
Our Rating		✓		
Evidence / Notes	<p>More people are sharing their experiences with us, but we can still improve how we share the learning from these stories. The Partnership has invested in Care Opinion, a national website which enables people to provide feedback and get personal responses about their health and care services they have received.</p> <p>We are improving our communication with communities we serve through better use of social media.</p> <p>Locality based health and wellbeing teams have well established relationships with local communities.</p> <p>Carers and people who use services are represented on the Integration Joint Board.</p> <p>The Partnership has a well established Carers Programme Board and Carers Reference Group.</p>			

	<p>The Partnership has a Participation and Engagement Network of people who use services that are regularly invited to participate in service reviews.</p> <p>People who use services and their Carers are represented on the Strategic Planning Group.</p> <p>The Partnership has established an Improvement Hub.</p> <p>Shared Complaints and learning from incidents across partnership.</p> <p>Work is underway to develop an integrated approach to duty of candour.</p> <p>Regular reports of complaints, comments and adverse incidents through the Clinical Governance Committee</p>
<p>Proposed improvement actions</p>	<p>Use the training opportunities that arise in relation to developing and enhancing communication and engagement skills across the Partnership.</p> <p>Extend membership and role of the Participation and Engagement Network.</p> <p>Develop the process for learning from feedback at a system level.</p> <p>Continue to develop social media presence.</p> <p>Develop an integrated approach to duty of candour.</p>

Proposal 6.3				
We will support Carers and representatives of people using services better to enable their full involvement in integration.				
Rating	Not yet established	Partly Established	Established	Exemplary
Indicator	Work is required to improve involvement of carers and representatives using services.	Work is ongoing to improve involvement of Carers and representatives using services.	Carers and representatives on the IJB are supported by the partnership, enabling engagement. Information is shared to allow engagement with other carers and service users in responding to issues raised.	Carers and representatives of people using services on the IJB, strategic planning group and locality groups are fully supported by the partnership, enabling full participation in IJB and other meetings and activities. Information and papers are shared well in advance to allow engagement with other carers and service users in responding to issues raised. Carers and representatives of people using services input and involvement is fully optimised.
Our Rating		✓		
Evidence / Notes	<p>A new Carers Strategy has been developed by the Partnership to implement the requirements under the Carers (Scotland) Act 2016. The development of the strategy started from asking Carers “What matters to you?” From this, 5 themes and outcomes were developed that link the strategy to the Act. The Triangle of Care ensures Carers are treated as partners in care, an approach that is being extended to more settings.</p> <p>A Carers representative is an IJB member.</p> <p>Transforming Wigtownshire, a programme redesigning health and social care services with the people of Wigtownshire, have adopted a co-production approach to changing how services work. An independent public representative chairs the programme board.</p>			
Proposed improvement actions	<p>Implement the Carers Strategy.</p> <p>Ensure that different programme boards engage with people, their Carers and communities to enable their full involvement in bringing about sustainable and effective change.</p>			