



Integration Joint Board
Audit, Risk and Governance Committee

16th September 2025

This Report relates to
Item 5 on the Agenda

Governance Update:

Best Value Statement

IJB Risk Register

FOI Update

Paper presented Kirsty Bell

For Discussion

Author:	Kirsty Bell, Health and Social Care Programme Manager
Approved for Submission by:	Mathew Crosby, Chief Finance Officer Gareth Marr, Interim Chief Officer
List of Background Papers:	N/A
Appendices:	Appendix 1 – Best Value Statement 24 / 25 Appendix 2 – IJB Risk Register

1. Introduction

1.1 The first component of this report is the Best Value Statement which is a requirement of the IJB to ensure that there is good governance and effective management of resources, with a focus on improvement, to deliver the best possible outcomes for the public.

The report summarises the approach being taken to Best Value in Dumfries and Galloway IJB for 2024 / 2025 and will continue to be updated on an annual basis (Appendix 1).

1.2 The second component of this report is the IJB's Risk Register (Appendix 2). These have been shared with all IJB members following the previous Audit, Risk and Governance Committee held on 24th June 2025.

1.3 And finally, within the section 3 of the report an overview of Freedom of Information request within 24/25.

2. Recommendations

2.1 **The IJB Audit, Risk and Governance Committee is asked to:**

- **Consider the content of the Best Value Statement with a view to giving recommendation to the IJB for approval on 16th December 2025.**
- **Consider the enclosed Risk Register with a view to giving recommendation to the IJB for approval on 16th December 2025.**
 - **Approve additional risk on membership (governance)**
- **This update is provided for information and assurance ahead of the IJB meeting scheduled for 16 December 2025, confirming that FOI requests are being managed in accordance with statutory processes and timelines.**

3. Background and Main Report

3.1 The Best Value Statement (Appendix 1) which is a requirement of the IJB to ensure that there is good governance and effective management of resources, with a focus on improvement, to deliver the best possible outcomes for the public.

3.2 Effective risk management is a fundamental aspect of good corporate governance and plays a key role in supporting delivery of the IJB's strategic plan and associated priorities where the IJB Risk Register (Appendix 2) has been updated for the Committees consideration.

3.2.1 It is proposed that an additional risk be added to the IJB Risk Register regarding membership, due to ongoing challenges with quoracy and a lack of communication from voting members.

To mitigate this risk, the following actions are proposed:

- A review of the Scheme of Delegation, with a view to reducing the number of committees to two.
- A formal letter to be issued to all IJB voting members, reiterating their responsibilities as voting members and the importance of regular attendance at meetings.

3.3 Finally, during the reporting period, the Integration Joint Board (IJB) received a

small number of Freedom of Information (FOI) requests. Of these, 90% were responded to within the statutory 20-working-day timeframe, demonstrating a strong commitment to transparency and timely communication.

- 3.4 Please note that when Freedom of Information (FOI) requests specifically relate to either NHS Dumfries and Galloway or the Local Authority, we advise that we do not hold the requested information and recommend that the requester contacts the relevant organisation directly. Of the small number of requests, only one was directly addressed to the IJB. This request sought a copy of the IJB's register and was responded to within the required timeframe

4. Conclusions

- 4.1 In summary, the IJB Audit, Risk and Governance Committee require to give recommendation to IJB for approval for 1) Best Value Statement 24/ 25 and 2) Updated Risk Register 3) Assurance of the management of Freedom of Information (FOIs) requests 24/25.

5. Resource Implications

- 5.1 There are no resource implications arising from this report.

6. Impact on Integration Joint Board Outcomes, Priorities and Policy

- 6.1 The ability to effectively respond to and manage risk is critical to the achievement of IJB outcomes and priorities. When properly implemented, the Risk Management Strategy will add value to support decision-making and prioritisation by the IJB.

7. Legal and Risk Implications

- 7.1 There are no direct legal and risk implications from this report. However, there are a number of legal and risk implications which may arise from not embedding an effective risk management framework, including:
- the potential adverse impact on achievement of the IJB's strategic plan and associated priorities if an effective risk management strategy is not embedded across the organisation
 - the ability to meet the requirements of the integration scheme
 - corporate assurance that risks are being managed effectively
 - potential financial, operational, and reputational risks to the IJB, Dumfries and Galloway Council and NHS Dumfries and Galloway

8. Consultation

- 8.1 Mathew Crosby, Interim Chief Finance Officer
- 8.2 Gareth Marr, Interim Chief Officer

9. Equality Impact Assessment

- 9.4 No impact assessment was undertaken when preparing this paper.

10. Glossary

EQIA	Equalities Impact Assessment
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	IJB	Integration Joint Board
	FOI	Freedom of Information

IJB Best Value Statement

Introduction

Best Value is about ensuring that there is good governance and effective management of resources, with a focus on improvement, to deliver the best possible outcomes for the public.

The report summaries the approach being taken to Best Value in Dumfries and Galloway IJB for 2024 / 2025 and will continue to be updated on an annual basis.

Item	Audit Scotland Prompt	IJB Response
1	Who do you consider to be accountable for securing Best Value in the IJB?	<p>The IJB does not directly commission or contract work, however it is responsible for directing its partners (the Council / NHS Health Board) to commission on the IJB's behalf within the principles of Best Value.</p> <p>This does not remove the accountability within partner organisations for their own responsibilities under the Best Value legislation.</p> <p>Commissioning from third sector providers is monitored / managed and evaluated in line with Best Value principles by both Council and NHS Health Board.</p>
2	How do you receive assurance that the Services supporting the delivery of the strategic plan are securing Best Value?	<p>Aligned to the statutory guidance issued by the Scottish Government in January 2020, the issuing of IJB Directions to the Council / NHS Board are legally binding therefore there is a revised governance procedure in place to ensure timely updates on the performance of Directions are provided to the IJB from the Council / Health Board via the Partnership Leadership Team.</p> <p>The IJB places reliance on the controls and procedures of our partner organisations in terms of Best Value delivery.</p> <p>There are governance arrangements in place for monitoring performance and progress against the delivery of the strategic commissioning plan aligned to the Best Value guidance. This is achieved through the following structures:</p> <ul style="list-style-type: none"> • Health and Social Care Partnership Leadership Group (operational oversight) • Strategic Planning Group • Integrated Joint Board (IJB) • IJB Committee Structure <ul style="list-style-type: none"> ○ IJB Finance, Performance and Quality Committee ○ IJB Audit, Risk and Governance Committee ○ IJB Strategic Planning Delivery and Commissioning Committee ○ IJB Transformation and Innovations Futures Committee • Full Council and NHS Board Meetings, together with associated Committees
3	Do you consider there to be sufficient buy-in to the IJB's	<p>The IJB has good joint working arrangements in place and has benefited from ongoing support from members and officers within our partner organisations. There are linkages and working relationships with the Community Planning Partners.</p>

	longer term vision from partner's officers and members?	
4	How is value for money demonstrated in the decision made by the IJB?	<p>All papers presented to the IJB have a section on financial implications for each proposal, and a refined approach to budget allocation is being adopted through the issuing of Directions (referenced below).</p> <p>The governance procedure for the recording, management and monitoring of Directions has been adopted where the delegated lead of the Direction will produce a delivery proposal back firstly to the Health and Social Care Leadership Group for prioritisation to either the D&G Council, NHS Board for approval.</p> <p>If there is a requirement to undertake a formal approval process regarding the way in which a Direction will be delivered and therefore provide a proposal for delivery (position paper), the response for implementing each Direction will attempt to capture a Direction impact assessment that covers the following points:</p> <ul style="list-style-type: none"> ○ links with the Tactical Priorities; ○ implications for the Board / Council on the delivery of the direction; ○ resource implications (finance / workforce); ○ risk analysis; ○ timeline for delivery of the direction; ○ estates related points; ○ climate sustainability; ○ financial implications; and ○ changes to patient pathways / clinical implications. <p>Furthermore, the IJB members engage in healthy debate and discussions around proposed decisions and proposals, many of which are supported by additional IJB development / workshop sessions to ensure in depth discussion on key items. IJB Directions to the Health Board and Council require them to deliver our Services in line with Best Value principles.</p>
5	Do you consider there to be a culture of continuous improvement?	<p>The IJB is committed to a culture of continuous improvement/re-design. The Partnership has committed to undertake change to ensure Health and Social Care Services are sustainable in the current climate.</p> <p>This commitment is reflected in a range of strategic and tactical priorities, seeking to deliver in the right place only those services that offer best value and matter most to people.</p> <p>The Annual Delivery plan was developed which sets out our operational priorities and key actions for 2024 / 25 to further progress along the path towards recovery and renewal as set out in Re-mobilise, Recover and re-design: the framework for NHS Scotland.</p> <p>A range of tactical priorities have been agreed and mapped to Scottish Government Recovery Drivers for the Annual Delivery Plan</p>

which is outlined below:

Tactical Priority	Recovery Driver
Service Sustainability	1 Primary and Community Care 2 Urgent and Unscheduled Care 3 Mental Health Support 4 Planned Care 5 National Cancer Action Plan 7 Women's Health Plan 9 Optimise Use of Digital Technologies
Financial Sustainability	* Financial Plan via FRB * Financial Planning in LA
Workforce Sustainability	8 Implementation of Workforce Strategy
Environmental Sustainability	10 Climate Emergency & Environment
Quality and Safety	1 Primary and Community Care 2 Urgent and Unscheduled Care 3 Mental Health Support 4 Planned Care 5 National Cancer Action Plan 7 Women's Health Plan 9 Optimise Use of Digital Technologies
Population Health and Health Inequalities	6 Health Inequalities and Improved Population Health

The range of existing project commitments has alignment to the Tactical Priorities which were in the main led by the Programme Management Office.

6 Have there been any Service reviews undertaken since establishment – have improvements been identified? Is there any evidence of improvements in Services and / or reductions in pressures as a result of joint working

The health and social care system is experiencing unprecedented pressures across all areas of Dumfries and Galloway and Scotland. In response the Integration Joint Board Strategic Commissioning Plan sets out a model of care and support along with commissioning intentions to support transformation to address these pressures and other well documented issues of increased demand, financial and workforce challenges.

Within the Annual Delivery Plan there are plans to undertake re-design of identified Services to ensure sustainability for Services where impact measures are identified to report on impact.

7	Have identified improvement actions been prioritised in terms of those likely to have greatest impact	Project Plans, Annual Delivery Plan and proactive horizon scanning are set according to the items set out in the strategic commissioning plan, together with setting the Tactical Priorities.
8	What steps are taken to ensure that quality of care and service provided is not compromised as a result of costs saving measures	<p>All service change progressed via the Programme Management Office or other routes are subject to a full assessment before it proceeds e.g. quality impact assessment, Equality and Diversity Impact Assessment and Financial Impact Assessment, together with any stakeholder engagement and consultation.</p> <ul style="list-style-type: none"> • The assessment implications for the Board / Council on the delivery of the direction / service change; • resource implications (finance / workforce); • risk analysis; • timeline for delivery of the direction; • estates related points; • climate sustainability; • financial implications; and • changes to patient pathways / clinical implications. <p>Any of these changes are subject to following due process via the governance routes as outlined in section 2.</p>
9	Is performance information reported to the IJB of sufficient detail to enable value for money to be assessed	<p>Performance reporting is key to ensuring we are delivering Best Value aligned to the Strategic Commissioning Plan.</p> <p>We are in the process of refining the performance framework for IJB reporting on Directions so we are measuring and monitoring impact on a regular basis; where this includes monitoring of budgets allocated.</p>
10.	How does the IJB ensure that management of resources (finances, workforce etc) is effective and sustainable	Regular budget, workforce and performance of Directions reports to the IJB are provided on a quarterly basis to provide assurance and oversight.

Appendix 2

Risk 3060 Strategic Commissioning Plan	Current Risk Score		Low			Medium					High				Very High	
	C = 5 L = 4	20	1	2	3	4	5	6	8	9	10	12 Initial	15 Target	16	20 Current	25
Risk Title: Lack of sustainability of resource to meet needs set out in Strategic Commissioning Plan.											Executive Lead: Nicole Hamlet, Interim Chief Officer					
Risk Description: If the IJB does not have access to sufficient funds to delegate enough financial resource to the NHS and Local Authority, then service provision outlined within the Strategic Commissioning Plan will not be deliverable, resulting in a failure to deliver the Triple Aim, referenced above.											Date last reviewed on Datix April 2025					
											Committee review at: Audit, Risk and Governance Committee					
Current Controls																
<ol style="list-style-type: none"> 1. Standing Financial Instructions 2. Contract monitoring process/team 3. Council & NHS procurement 4. HR / Workforce development plans, policies and procedures (local and Regional) 5. Governance arrangements for assurance to the IJB is Transformation, Innovation and Delivery Committee, Strategic Planning and Commissioning Committee, Performance, Finance and Quality Committee; Audit, Risk and Governance Committee and the Strategic Commissioning Group. 6. IJB Performance Framework 7. H&SC Leadership Group oversight of partnership deliverables. 8. Programme Management Office delivering key transformational projects aligned to tactical priorities. 9. Development of NHS Financial Recovery Programme 10. Financial Recovery Board meets regularly 11. Annual Delivery plan links with workforce and financial plans and signed off by Scottish Government. Quarterly updates to Scottish Government on progress. 12. New Strategic plan in place 13. International recruitment to support workforce capacity gaps 14. Workforce plan developed and signed off by IJB and all partners 15. Links between Strategic Commissioning Intentions, Directions and Annual Delivery Plan. 16. Developed 24/25 IJB financial plan including savings opportunities identification. 17. Scheme of delegation reviewed and approved by IJB in March 2023. 18. Role of the FRB (NHS) and SLT (LA) has been reviewed and is now in place for across whole partnership. 19. Developed an updated risk strategy and operational implementation of risk appetite work – this has all been approved by Audit, Risk and Governance Committee 																

Further Controls
<ol style="list-style-type: none">1. Review and remodelling service delivery to more sustainable models.2. HSCP will be monitored and H&SCG&P. Delivery challenges will be fed back to IJB to inform commissioning plans3. Strengthening the links between Strategic Commissioning Plan and Financial Plan when developing Plans4. Effective implementation of the Strategic Commissioning Plan5. Ongoing work required around recruitment strategy and also financial recovery plan.
Further Controls Cont/....
<ol style="list-style-type: none">8. Review and implementation of new Scheme of Delegation and Committee arrangements which has been approved9. Review of IJB risks where a requirement to ensure a review of risks are reviewed on a quarterly basis10. Review of the Integration Scheme has taken place with both parties (NHS and Local Authority), where this has had ministerial sign off. However, the NHS are undertaking a further review of the scheme.

Risk 3061 National Health and Wellbeing Outcomes	Current Risk Score		Low			Medium					High				Very High	
	C = 3 L = 3	9	1	2	3	4	5	6	8	9 Current/ Target	10	12 Initial	15	16	20	25
Risk Title: Failure to make progress against nine National Health and Wellbeing Outcomes											Executive Lead: Nicole Hamlet, Interim Chief Officer					
Risk Description: If we fail to issue sufficient and appropriate Directions to partner organisations, they will not have the legal authority to deliver health and social care services outlined in the Integration Scheme, resulting in an inability to deliver the 9 National Health and Wellbeing Outcomes.											Date last reviewed on Datix: April 2025					
											Committee Review At: Audit, Risk and Governance Committee					
Current Controls																
<ul style="list-style-type: none"> • Strategic Commissioning Plan • Strategic Needs Assessment • Project Management Office in place to support key areas of transformation / service redesign • IJB Governance Structures • Performance Framework • Directions Policy and associated procedure – approved and embedded • Financial Plan • Integration Workforce Plan and introduction of MoU for those Services which are integrated • Annual Performance Report • Mapping through HSCP Delivery Plan • HSCP Annual Delivery Plan 24/25 in place • Steering groups and Programme Boards in place including Financial Recovery Board 																
Further Controls																
<ul style="list-style-type: none"> • Alignment with NHS and Adult Social Work Delivery Plans • Alignment of Service, Workforce and Financial plans • Continue to embed use of inequalities framework across the Partnership. Working with the Equality and Human Rights Commission on educational work for staff • Working closely with colleagues in Equality and Diversity • Working with partners on the staff wellbeing agenda and ensuring this is undertaken • Development of the Annual Delivery Plan for 2025/26 with direct linkages made to the strategic commissioning intentions and tactical priorities set out within the Strategic Commissioning Plan, thereby ensuring the delivery of agreed strategic direction in line with local system pressures 																

Risk 3203 Strategic Directions and Intent	Current Risk Score		Low			Medium					High				Very High	
	C = 4 L = 2	8	1	2	3	4	5	6	8 Current/ Target	9	10	12 Initial	15	16	20	25
Risk Title: Failure to deliver the strategic direction and intent set out within the Strategic Commissioning Plan											Executive Lead: Nicole Hamlet, Interim Chief Officer					
Risk Description: <ul style="list-style-type: none"> Operational actions not being aligned to the Strategic Commissioning Plan Lack of robust governance arrangements to oversee and monitor delivery of the Plan Changes to national policy, strategy or direction Sufficient capacity within the Strategic Planning and Transformation Directorate to monitor and report progress Any major change to the financial situation across the Health and Social Care Partnership 											Date last reviewed on Datix: April 2025					
											Committee review at: Audit, Risk and Governance Committee					
Current Controls																
<ul style="list-style-type: none"> Established a HSCP annual delivery plan Monitoring arrangements in place Tying the financial aspects to the Financial Recovery Board (NHS) and Senior Leadership Team (LA) The Strategic Planning and Transformation Directorate to continue to assess the input required to monitor progress Annual and Mid Year Reviews of Directorate performance established 																
Further Controls																
<ul style="list-style-type: none"> Progress and monitoring will be undertaken via IJB committee structure Embed progress against the actions via 6 monthly reporting Development of the Annual Delivery Plan for 2025/26 with direct linkages made to the strategic commissioning intentions and tactical priorities set out within the Strategic Commissioning Plan, thereby ensuring the delivery of agreed strategic direction in line with local system pressures 																