



## **SOUTH LANARKSHIRE INTEGRATION JOINT BOARD**

Minutes of meeting held in Committee Room 5, Council Offices, Almada Street, Hamilton on 19 April 2016

**Chair:**

Councillor Jackie Burns

**Present:**

**NHS Lanarkshire Board**

Philip Campbell, Non Executive Director (Depute); Tom Steele, Non Executive Director; Iain Wallace, Medical Director

**South Lanarkshire Council**

Councillors Maureen Devlin, Allan Falconer and Lynsey Hamilton

**Attending:**

**NHS Lanarkshire**

C Campbell, Chief Executive; C Cunningham, Head of Health; H Knox, Director of Acute Services; C Mackintosh, Associate Medical Director; C McGhee, Corporate Risk Manager

**Partners**

C Angus, Public Partnership Forum; G Bennie, VASLAN; H Biggins, Service User (Older People); R Ormshaw, Scottish Care; T Wilson, Health Services Trade Union Representative

**South Lanarkshire Council**

L Freeland, Chief Executive; P Manning, Executive Director (Finance and Corporate Resources); S Dunsmore, Insurance and Risk Manager; H Stevenson, Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership; M Kane, Planning and Performance Manager; G McCann, Head of Administration and Legal Services; J McDonald, Administration Adviser; K McVeigh, Head of Personnel Services; M Moy, Section 95 Officer

**Apologies:**

**NHS Lanarkshire Board**

Lilian Macer, Non Executive Director

**NHS Lanarkshire**

L Ace, Director of Finance; M Docherty, Associate Director of Nursing

**Partners**

R Anderson, Carers Network; S Smellie, South Lanarkshire Council Trade Union Representative

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### **1 Declaration of Interests**

No interests were declared.

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### **2 Minutes of Previous Meeting**

The minutes of the meeting of the South Lanarkshire Integration Joint Board held on 16 February 2016 were submitted for approval as a correct record.

**The Board decided:** that the minutes be approved as a correct record.

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### **3 Minutes of Special Meeting**

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The minutes of the special meeting of the South Lanarkshire Integration Joint Board held on 29 March 2016 were submitted for approval as a correct record.

**The Board decided:** that the minutes be approved as a correct record.

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### **4 Operating Arrangements to Support Integration**

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A joint report dated 30 March 2016 by the Chief Executives of NHS Lanarkshire and South Lanarkshire Council was submitted on the proposed management structures for the South Lanarkshire Health and Social Care Partnership.

To ensure an effective and stable management structure was in place to support the Integration of the Health and Social Care workforce, a phased approach had been adopted to establish a senior management team which reflected the full range of the Integration Joint Board's (IJB) delegated responsibilities for strategic planning and delivery of services.

Phase 1 progress had included the establishment of a combined role of Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership, with the following posts reporting directly to the Chief Officer:-

- ◆ Head of Adult and Older People Services
- ◆ Interim Head of Health
- ◆ Nurse Director
- ◆ Medical Director

The joint role of Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership had proven successful in moving the integration agenda forward and both NHS Lanarkshire and South Lanarkshire Council considered that this position should be formalised with the creation of a joint post to lead the Partnership. The current postholder would be retiring in September 2016 and it was proposed that the post of Executive Director of Health and Social Care be recruited jointly with partners.

It was further proposed that a post of Head of Commissioning and Performance be established to manage the planning and commissioning functions from Social Work and NHS Lanarkshire, together with the Primary Care Services management from NHS Lanarkshire.

Details of the proposed organisational structure, which built on the level of integration already achieved to support the integration of Health and Social Care, were provided in the appendix to the report.

The Head of Personnel Services, South Lanarkshire Council advised the Board that it was proposed that the Recruitment Committee for the joint post of Executive Director, Health and Social Care consist of representatives from the Integration Joint Board and both NHS Lanarkshire and South Lanarkshire Council. Confirmation was also provided that Marie Moy, Finance Service Manager, South Lanarkshire Council had been appointed as the Section 95 Officer to the IJB.

The Chief Executive, South Lanarkshire Council advised that, following discussion with the Chief Executive, NHS Lanarkshire, it was proposed that, to better reflect the responsibilities of the post, the title be amended to Director of Health and Social Care. He emphasised that the appointment of a suitably qualified individual to the dual post would be the most cost effective means of covering these duties and provide partners with the opportunity to consider including further services within the scope of the IJB in the future.

The Chair, on behalf of the Board Members, thanked the Chief Officer for his contribution to the progress that had been made in relation to the integration of health and social care.

**The Board decided:**

- (1) that it be noted that the posts of Chief Officer, Health and Social Care Partnership and Executive Director (Social Work Resources) would be replaced with a new post of Director of Health and Social Care;
- (2) that arrangements be made to recruit to the post of Director of Health and Social Care in conjunction with partner organisations;
- (3) that the representatives on the Recruitment Committee be Councillor Jackie Burns, Councillor Allan Falconer and Philip Campbell, Non Executive Director, with the Chief Executives of NHS Lanarkshire and South Lanarkshire Council acting as advisers to the Committee;
- (4) that the appointment of Marie Moy, Finance Service Manager, South Lanarkshire Council as the Section 95 Officer to the IJB be noted; and
- (5) that the proposed organisational structure to support the integration of Health and Social Care in South Lanarkshire, as detailed in the appendix to the report, be approved.

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## **5 Risk Register for the Integration Joint Board**

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A report dated 7 March 2016 by the Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership was submitted on the Risk Register for the South Lanarkshire Integration Joint Board (IJB).

At its meeting on 1 December 2015, the IJB had agreed that the full Risk Register be submitted to a future meeting for approval. The Risk Register, attached as an appendix to the report, had been finalised in consultation with partners and had been reviewed against the existing risk registers for NHS Lanarkshire and South Lanarkshire Council.

It was proposed that the Risk Register for the IJB be approved and that reporting arrangements to the Performance and Audit Sub-Committee be established.

It was also confirmed that the IJB's application to the Scottish Government for membership of the Clinical Negligence and Other Risks Indemnity Scheme (CNORIS) had been successful.

**The Board decided:**

- (1) that the Risk Register for the South Lanarkshire Integration Joint Board, as detailed in the appendix to the report, be approved;
- (2) that reporting arrangements for the Risk Register to the Performance and Audit Sub-Committee be established; and
- (3) that the successful application for membership of the Scottish Government's Clinical Negligence and Other Risks Indemnity Scheme (CNORIS) be noted.

*[Reference: Minutes of 1 December 2015 (Paragraphs 6 and 7)]*

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## **6 Financial Monitoring Report - Partnership Funding 2015/2016 Update**

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A report dated 9 March 2016 by the Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership was submitted on Partnership funding which was available for the financial year 2015/2016.

The total budget for 2015/2016 was £9.733 million, of which £9.287 million had been spent, with a projected underspend of £0.446 million which would be carried forward to 2016/2017 to progress the health and social care priorities.

The Chair, on behalf of the Board Members, welcomed Marie Moy to her first meeting of the IJB in her role as Section 95 Officer.

**The Board decided:** that the report be noted.

*[Reference: Minutes of 1 December 2016 (Paragraph 4)]*

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## **7 Publication Scheme**

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A report dated 7 March 2016 by the Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership was submitted on the responsibilities placed on the South Lanarkshire Integration Joint Board by the Freedom of Information (Scotland) Act 2002.

The Freedom of Information (Scotland) Act 2002 required Scottish Public Authorities to produce and maintain a publication scheme which detailed the information that was available to the public and how to access that information.

The Integration Joint Board was a public authority for the purposes of the Freedom of Information (Scotland) Act 2002 and the related Environmental Information (Scotland) Regulations 2004 and would be required to respond to requests for information from the public in terms of the legislation.

The Scottish Information Commissioner had developed a model publication scheme and guidance, as detailed in Appendix 1 to the report, and it was proposed that the model scheme be adopted by the IJB.

In addition, the IJB was required to publish a guide to the information which it had available and it was further proposed that the IJB's website be used as a platform on which to build and display its guide to information, an example of which was attached as Appendix 2 to the report.

The IJB was also required to establish policies and procedures detailing how requests for information would be responded to and a draft policy was attached as Appendix 3 to the report. In addition, a summary of rights document would require to be produced, as detailed in Appendix 4 to the report.

**The Board decided:**

- (1) that the Model Publication Scheme approved by the Scottish Information Commissioner, as detailed in Appendix 1, be adopted and submitted to the Commissioner for approval;
- (2) that the Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership be authorised to complete the preparation of a guide to information, as detailed in Appendix 2;
- (3) that the Freedom of Information Policy, as detailed in Appendix 3, be approved; and

- (4) that the Freedom of Information Summary of Rights, as detailed in Appendix 4, be approved.

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## **8 Integration Joint Board Member Role Profiles**

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A report dated 4 March 2016 by the Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership was submitted on the role profiles for members of the South Lanarkshire Integration Joint Board.

The Public Bodies (Joint Working) (Integration Joint Board Establishment) (Scotland) Amendment (No. 2) Order 2015 came into force on 21 September 2015 and established the South Lanarkshire Integration Joint Board.

All Members of the Integration Joint Board (IJB) were required to adhere to the Code of Conduct for Members of Devolved Public Bodies to ensure equity and transparency. To assist members of the IJB better understand their role and remit, it was proposed that role profiles be adopted for all members, both voting and non-voting, to provide the following:-

- ◆ the skills, experiences and personal qualities required to fulfil the role of being a member of the IJB
- ◆ clarification for the public in relation to the role(s) expected of IJB members
- ◆ improved accountability of members of the IJB by identifying the roles and responsibilities members holding positions of responsibility were expected to fulfil
- ◆ the basis for person specifications that could be used to identify training needs

It was proposed that the role profiles that had been developed for the following roles, as detailed in the appendix to the report, be approved and form the basis for training needs and analysis:-

- ◆ IJB Chair
- ◆ IJB Depute Chair
- ◆ Member of the IJB
- ◆ Chair of Scrutiny Sub-Committee
- ◆ Member of Scrutiny Sub-Committee

**The Board decided:** that the role profiles for members of the South Lanarkshire Integration Joint Board, as detailed in the appendix to the report, be approved.

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## **9 Performance and Audit Sub-Committee**

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A report dated 8 March 2016 by the Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership was submitted on the establishment of a Performance and Audit Sub-Committee of the South Lanarkshire Integration Joint Board (IJB).

The Public Bodies (Joint Working) (Scotland) Act 2014 required Health and Social Care Partnerships to establish Integration Schemes detailing the governance arrangements within that Partnership area. The South Lanarkshire Integration Scheme made provision for the IJB to establish Sub-Committees for the purpose of undertaking its functions.

In order that the business of the IJB could be managed effectively, it was proposed that a Performance and Audit Sub-Committee be established with the powers and responsibilities detailed in the Terms of Reference, attached as an appendix to the report.

It was further proposed that nominations for membership of the Sub-Committee be sought from the IJB.

**The Board decided:**

- (1) that a Performance and Audit Sub-Committee of the South Lanarkshire Integration Joint Board be established with the powers and responsibilities detailed in the Terms of Reference, attached as an appendix to the report; and
- (2) that Councillor Jackie Burns, Councillor Allan Falconer, Philip Campbell, Non Executive Director and Tom Steele, Non Executive Director be nominated as members of the Performance and Audit Sub-Committee.

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## **10 Integration Joint Board - Complaints Process**

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A report dated 8 March 2016 by the Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership was submitted on the establishment of a complaints handling process for the South Lanarkshire Integration Joint Board (IJB).

The Public Bodies (Joint Working) (Integration Joint Board Establishment) (Scotland) Amendment (No. 2) Order 2015 came into force on 21 September 2015 and established the South Lanarkshire Integration Joint Board. As a new public body, the IJB was required to establish a complaints handling process for complaints made against the IJB.

Amendments to secondary legislation, currently in draft, proposed changes to the Scottish Public Services Ombudsman (SPSO) Act 2002 to provide that Integration Joint Boards became listed authorities under the Act. This would result in the IJB being subject to the jurisdiction of the SPSO once the Order was passed by Parliament and would require the IJB to establish a complaints handling procedure which complied with the principles published by the Ombudsman.

It was proposed that, once the Order had been passed by Parliament, a suitable complaints handling process, which complied with the SPSO model complaints handling procedure, be prepared for the Integration Joint Board and submitted to a future meeting of the IJB for approval.

**The Board decided:** that the report be noted.

*[Reference: Minutes of 1 December 2015 (Paragraph 5)]*

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## **11 Role of Medical Director for South Lanarkshire Partnership**

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A report dated 8 March 2016 by the Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership was submitted on the role of the Medical Director for the South Lanarkshire Health and Social Care Partnership.

The Medical Director was the senior medical adviser within the Partnership and would report to the Chief Officer, Health and Social Care Partnership.

The Medical Director would undertake a lead role in the delivery of primary care services and provide strategic and operational leadership, including commissioning arrangements, provision of direction and guidance on professional medical issues and the establishment of governance arrangements for the new Health and Social Care Partnership structure.

**The Board decided:** that the report be noted.

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## **12 Prescribing**

A report dated 8 March 2016 by the Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership was submitted on the current position and the future plans in relation to prescribing.

South Lanarkshire Health and Social Care Partnership had lead responsibility for the management of the prescribing budget and indications were that the budget would be overspent by £5 million. In order to address this, the Medical Director was working on a revised Prescribing Incentive Scheme with a view to reducing costs and engaging GPs to perform specific pieces of work in relation to some high cost areas. Options to address this included reducing wastage through medication ordering systems, managing higher cost medications to lower cost medications, and looking at the realistic medicine agenda as outlined by the Chief Medical Officer.

**The Board decided:** that the report be noted.

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## **13 Role of Nurse Director for South Lanarkshire Partnership**

A report dated 8 March 2016 by the Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership was submitted on the role of the Nurse Director for the South Lanarkshire Health and Social Care Partnership.

The Nurse Director was the senior nurse within the Health and Social Care Partnership with responsibility for strategic and operational leadership to ensure the delivery of person centred, safe and effective nursing services and clinical practice within the Partnership. This would include commissioning arrangements, providing direction and guidance on professional nursing issues by establishing effective clinical and care governance arrangements, developing policy and establishing an effective and highly skilled nursing workforce to meet the needs of the South Lanarkshire population.

In addition, the Nurse Director would lead on specific professional/managerial and operational issues for nursing across NHS Lanarkshire, including representing Lanarkshire at a national level.

**The Board decided:** that the report be noted.

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## **14 Any Other Competent Business**

There were no other items of competent business.





Report to:	<b>South Lanarkshire Integration Joint Board</b>
Date of Meeting:	<b>28 June 2016</b>
Report by:	<b>Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership</b>

Subject:	<b>Annual Accounts 2015/2016</b>
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## 1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ provide an overview of the Annual Accounts process for the Integration Joint Board (IJB) in line with the legislative requirements.

## 2. Recommendation(s)

2.1. The Integrated Joint Board is asked to approve the following recommendation(s):-

- (1) that the unaudited Annual Accounts for 2015/2016, as appended to this report, be noted; and
- (2) that the publication details for the unaudited Annual Accounts for 2015/2016 be approved.

## 3. Background

3.1. The Public Bodies (Joint Working) (Scotland) Act 2014 was passed by the Scottish Parliament on 25 February 2014 and received Royal Assent in April 2014. The IJB is a legal entity in its own right, created by Parliamentary Order, following Ministerial approval of the Integration Scheme. NHS Lanarkshire and South Lanarkshire have delegated functions to the IJB which has the responsibility for strategic planning, resourcing and ensuring delivery of all integrated services.

3.2. The IJB is specified in legislation as a “section 106” body under the terms of the Local Government Scotland Act 1973. It is therefore expected to prepare Annual Accounts in compliance with the Code of Practice on Accounting for Local Authorities in the United Kingdom.

## 4. Annual Accounts

4.1. The 2015/2016 Annual Accounts for the IJB are attached as an appendix to this report.

4.2. The accounts have been prepared in line with proper accounting practice and require to be submitted by 30 June 2016 to the External Auditors, PricewaterhouseCoopers LLP.

4.3. The public period of inspection of the unaudited 2015/2016 Annual Accounts is for a three week period from 1 July 2016.

- 4.4. Following completion of the external audit and having taken into consideration any findings reported by PricewaterhouseCoopers LLP, the audited 2015/2016 Annual Accounts will be submitted to the IJB for approval before 30 September 2016.
- 4.5. The 2015/2016 Annual Accounts of the IJB will thereafter be available in both hard copy and on the website for at least five years, together with any further reports provided by the External Auditor that relate to the audited accounts. The Annual Accounts of the IJB must be published by 31 October 2016 and any further reports by the External Auditor by 31 December 2016.

## **5. Employee Implications**

- 5.1. There are no employee implications associated with this report.

## **6. Financial Implications**

- 6.1. There are no specific financial implications associated with this report.

## **7. Other Implications**

- 7.1. There are no additional risks associated with this report.
- 7.2. There are no sustainable development issues identified in relation to the content of this report.
- 7.3. There are no other issues associated with this report.

## **8. Equality Impact Assessment and Consultation Arrangements**

- 8.1. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and therefore no equality impact assessment is required.
- 8.2. There is also no requirement to undertake any consultation in terms of the information contained in this report.

## **Harry Stevenson**

**Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership**

Date created: 15 June 2016

## **Previous References**

- ◆ none

## **List of Background Papers**

- ◆ none

## **Contact for Further Information**

If you would like to inspect the background papers or want further information, please contact:-

Marie Moy, Chief Financial Officer  
Ext: 3709 (Phone: 01698 453709)  
Email: [marie.moy@southlanarkshire.gcsx.gov.uk](mailto:marie.moy@southlanarkshire.gcsx.gov.uk)

**SOUTH LANARKSHIRE  
INTEGRATION JOINT BOARD**

**ANNUAL REPORT AND ACCOUNTS**

**2015/2016**

# **SOUTH LANARKSHIRE INTEGRATION JOINT BOARD**

## **ANNUAL REPORT AND ACCOUNTS 2015/2016**

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## MANAGEMENT COMMENTARY

### Purpose and objectives

The purpose of the Integration Joint Board's (IJB) Annual Accounts is to demonstrate the stewardship of the public funds to which it is entrusted. The South Lanarkshire Integration Joint Board was established as a body corporate by order of Scottish Ministers from 6 October 2015 via The Public Bodies (Joint Working) Integration Joint Board Establishment (Scotland) Amendment Order 2015.

A Shadow Integration Joint Board has been in operation for the 2015/2016 financial year in order to allow the Board time to develop the Strategic Plan that would determine the best method of delivering integrated health and social care services.

The vision of "working together to improve health and wellbeing in the community – with the community" aims to provide a high quality and sustainable model of community care. In the development of this integrated approach, the Board's aims are therefore to:

- improve the health, wellbeing and personal outcomes of the population of South Lanarkshire;
- build community capacity and capability;
- offer a high standard of information, advice, support and care to people who need assistance or who use health and social care services, in particular those whose needs will benefit from a fully integrated approach; and
- shift the balance of care away from institutional care towards much greater opportunities for people to be cared for at home or in a homely setting

The implementation of the Strategic Commissioning Plan going forward, including the achievement of the above aims, will also demonstrate progress towards the delivery of the 9 National Health and Wellbeing Outcomes, which underpin integration, as follows:

- People are able to look after and improve their own health and wellbeing and live in good health for longer.
- People, including those with disabilities or long term conditions or who are frail are, are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community.
- People who use health and social care services have positive experiences of those services, and have their dignity respected.
- Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.
- Health and social care services contribute to reducing health inequalities.
- People who provide unpaid care are supported to look after their own health and wellbeing, including to reduce any negative impact of their caring role on their own health and wellbeing.
- People using health and social care services are safe from harm.
- People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide.
- Resources are used effectively and efficiently in the provision of health and social care services.

## **Financial review**

The Annual Accounts cover the financial year to 31 March 2016 and have been prepared in accordance with the Code of Practice on Local Authority Accounting in Great Britain. The Income and Expenditure Statement and its accompanying notes and statements summarise the costs and sources of funding in carrying out the Integration Joint Board's activities.

The IJB's section 95 officer, the Chief Financial Officer, has direct accountability for financial governance. The role of the Chief Financial Officer is to ensure that, as custodians of public money, the IJB performs and accounts for its financial activities in an honest and trustworthy manner in accordance with best accounting practice. The IJB will be responsible for the implementation of sound control systems, the monitoring and reporting on financial performance, the provision of advice on financial matters and making arrangements for the publishing of the Annual Accounts of the IJB and the related statutory audit required.

There are inherent risks associated with the creation of the IJB due to the scale of organisational change involved and the transfer of significant financial resources. In order to mitigate these risks a set of financial regulations, a reserves policy and budget and performance monitoring templates have been produced.

Contributions from South Lanarkshire Council and Lanarkshire Health Board for delegated functions to the IJB are to be overseen by the Chief Officer and the Chief Financial Officer of the IJB. During the financial year to 31 March 2016 no contributions were made in respect of delegated functions as this was the shadow year of the IJB.

The agreed funding contributions will commence from 1 April 2016. The resources in the first year of operation will be based on the due diligence process carried out during the shadow year. The due diligence process was based on the existing financial plans, including planned efficiencies, savings and uplifts, and the financial performance of South Lanarkshire Council and Lanarkshire Health Board during the shadow period and in previous years.

In future years the Chief Officer and the Chief Financial Officer of the IJB will develop a business case for its resources in line with the method set out in the Integration Scheme.

## **Operational review**

South Lanarkshire has a strong record of working in partnership and achieving joint goals. A strong relationship already exists with third and independent sectors, users and carers with recognition that services should be based on the whole patient pathway.

Health and Social Care Integration provides South Lanarkshire with an opportunity to further improve partnership working and tackle some of the challenges faced such as finance limitations, increasing public expectations and the changing profile of the population.

During the 2015/2016 shadow year, the Integration Joint Board has overseen the setting up of all operational, governance, accountability and strategic planning arrangements for the South Lanarkshire Health and Social Care Partnership to ensure all necessary components are in place to allow full integration to take place from 1 April 2016.

**Chief Officer**  
**Harry Stevenson**

**Chief Financial Officer**  
**Marie Moy**

**Chair**  
**Jackie Burns**

**Date**

**Date**

**Date**

## **STATEMENT OF RESPONSIBILITIES FOR THE STATEMENTS OF ACCOUNTS**

### **Responsibilities of the South Lanarkshire Integration Joint Board**

The South Lanarkshire Integration Joint Board is required to:

- make arrangements for the proper administration of its financial affairs and to ensure that one of its officers has the responsibility for the administration of those affairs. In this Board, that officer is the Chief Financial Officer.
- manage its affairs to secure economic, efficient and effective use of resources and safeguard its assets.
- approve the Statements of Accounts.

### **Responsibilities of the Chief Financial Officer**

As Chief Financial Officer I am responsible for the preparation of the Integration Joint Board's statement of accounts which, in terms of the CIPFA/LASAAC *Code of Practice on Local Authority Accounting in the United Kingdom 2015/2016* (the "Code of Practice"), as supported by the International Financial Reporting Standard (IFRS), is required to give a true and fair view of the financial position of the Integration Joint Board at the financial year end and its income and expenditure for the year then ended.

In preparing the financial statements I am responsible for:

- selecting suitable accounting policies and applying them consistently;
- making judgements and estimates that are reasonable and prudent;
- complying with the Code of Practice.

I am also required to:

- keep proper accounting records which are up to date; and
- take reasonable steps to ensure the propriety and regularity of the finances of the Integration Joint Board.

### **Statement of Accounts**

The Statement of Accounts presents the true and fair view of the financial position of the South Lanarkshire Integration Joint Board at 31 March 2016, and its income and expenditure for the year then ended.

**Chief Financial Officer**  
**Marie Moy**

**Date**

## REMUNERATION REPORT

### Introduction

The Remuneration Report has been prepared in accordance with the Local Authority Accounts (Scotland) Regulations 2014 which requires, at least, disclosure about remuneration and pension benefits of any person whose remuneration is £150,000 or more.

### Integration Joint Board

The Standing Orders of the IJB, as prescribed by the Public Bodies (Joint Working) (Integration Joint Board) Order 2014, sets out the detail regarding IJB membership, voting, calling of meetings, etc.

The IJB comprises eight voting members, four of which are elected members appointed by South Lanarkshire Council with the remaining four being members of the NHS Lanarkshire Board appointed by NHS Lanarkshire. The term of office of members shall be for a period of three years.

### Senior officers

The Chief Officer is appointed by the Integration Joint Board on consultation with NHS Lanarkshire Health Board and South Lanarkshire Council. The Chief Officer is employed by South Lanarkshire Council and seconded to the Integration Joint Board.

### Remuneration policy

The board members do not currently receive remuneration or expenses directly from the IJB however voting board members will be remunerated by their relevant IJB partner organisation.

The remuneration of the senior officer is set with reference to national arrangements as well as local decisions on management structures and their associated remuneration levels. The Scottish Joint National Committee for Local Authority Services sets out the spinal column salary points for Chief Officers which can be utilised in setting salary levels for such posts.

### Remuneration

The board members and senior officers received the following remuneration in the year:

			2015/2016	2014/2015
Name	Salary, fees, allowances	Taxable Expenses	Total Remuneration	Total Remuneration
Harry Stevenson	£30,258 (Full Year Equivalent - £62,215)	Nil (Full Year Equivalent - Nil)	£30,258 (Full Year Equivalent - £62,215)	N/A

The remuneration disclosed in the table above reflects that remuneration received in relation to the Shadow Integration Joint Board which operated during 2015/16. As this was the first year of operation there are no comparable figures for 2014/15.

The following members served on the Shadow Integration Joint Board during financial year 2015/2016:

- Councillor Jackie Burns (Chair), South Lanarkshire Council
- Mr Phil Campbell (Depute Chair), NHS Lanarkshire



**Pension benefits**

The senior officers are members of the Strathclyde Pension Fund which is a Local Government Pension Scheme (LGPS).

The LGPS is a defined benefit statutory scheme, administered in accordance with the Local Government Scheme Regulations 2014.

Costs of the pension scheme contributions for the year to 31 March 2016 are shown in the table below:

Name		To 31 March 2016	To 31 March 2015
Harry Stevenson	In-year pension contributions	£5,840	N/A
	Accrued pension benefits	£16,779	N/A
	Movement in accrued pension benefits	£730	N/A

The information contained within the Remuneration and Pension Benefits sections above is subject to audit.

**Chief Officer**  
**Harry Stevenson**

**Chair**  
**Jackie Burns**

**Date**

**Date**

## **ANNUAL GOVERNANCE STATEMENT**

### **Scope of Responsibility**

The Integration Joint Board is responsible for ensuring that its business is conducted in accordance with the law and appropriate standards, safeguarding public funds and assets and making arrangements to secure best value in their use.

In discharging this responsibility, the Chief Officer has put in place arrangements for governance which includes the system of internal control. This is designed to manage risk to a reasonable level, but cannot eliminate the risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable but not absolute assurance of effectiveness.

South Lanarkshire Council, NHS Lanarkshire and our service user/carer, Third and Independent Sector partners, have been working closely over many years to develop an integrated approach to the design and delivery of services and supports with a strong emphasis on improving personal outcomes for the people we work with. At the heart of this approach are the objectives of

- improving health and well being
- reduce inequalities
- encouraging people to look after their own health and wellbeing where possible
- early intervention
- support to self care and a strengths and assets based approach.

### **Governance framework**

The system of internal control is based on a framework which includes:

- Identification of the Integration Joint Board's objectives in the 2016 to 2019 Strategic Plan
- A Shadow Integration Joint Board comprising eight members which includes four persons nominated by Lanarkshire Health Board and four persons nominated by South Lanarkshire Council plus non-voting representatives drawn from health and social care professionals, employees, the third sector, service users and carers. The Shadow Integration Joint Board has overseen the setting up of operational, governance, accountability and strategic planning arrangements for the South Lanarkshire Health and Social Care Partnership and ensured all necessary components are in place to allow full integration to take place from 1 April 2016.
- Formation of an Integration Joint Board from 1 April 2016 to oversee the integrated budget and the operational delivery of integrated services associated with delegated functions.
- Arrangements in place to establish a Performance and Audit Sub-Committee to track progress against outcomes and support the overall governance and scrutiny arrangements.
- Standing orders to prescribe the procedure and business of the Board and its Committees
- An annual work plan, to be agreed by the Board and its Committees to set out the business for the year, providing an assurance to committee members that the Integration Joint Board is able to demonstrate delivery on its corporate governance objectives.
- A risk management strategy, to be approved by the Integration Joint Board.
- Adequate insurance arrangements. As the Board is a separate legal entity, existing partner organisation arrangements do not extend to provide the Officers/Officials Indemnity type cover that would protect the Board against claims arising from the decisions and actions taken by Board Members within the scope of their normal duties on behalf of the Board.
- Explicit lines of professional and operational accountability.
- The measurement of performance outcomes with regards to the national health indicators and operational measures at both an organisational and locality level.
- Appropriate and proportionate arrangements to review and consider all key matters and outputs relating to internal and external audit provision in line with relevant good governance standards in the public sector.
- Comprehensive budget and expenditure monitoring systems.
- Financial regulations that specify controls over budgeting, income, expenditure and financial performance.

## **Review of Effectiveness**

We have the responsibility for reviewing the effectiveness of the governance arrangements including the system of internal control.

Our review is informed by:

- Assurance from the Council's Section 95 and NHS Lanarkshire's Accountable Officer on financial matters
- Assurance from partner Health Board and Local Authority Officers
- Scrutiny by the Shadow Integration Joint Board/Committee through meetings

During 2015/16, the Shadow Integration Board operated with the Chief Officer as the finance designate. As the Chief Officer was not a qualified accountant, financial advice and guidance was provided by the Council's Section 95 Officer and the NHS Lanarkshire's Accountable Officer. As of 1 April 2016, the Integration Joint Board has appointed a Chief Financial Officer to be responsible for its financial administration.

These reviews of governance have identified a range of actions that have been, or will be, taken by the Integration Joint Board to continue to progress the Integration Joint Board's governance arrangements. These actions include

- Approval of the final strategic plan and annual work plan
- Approval of the risk management strategy
- Approval of a Financial Reserves policy
- Finalisation of the Integration Joint Board's budget following the due diligence process
- Agreement on formal internal audit work plans

## **Certification**

It is our opinion that reasonable assurance, subject to the matters noted above, can be placed upon the adequacy and effectiveness of the South Lanarkshire Integration Joint Board's systems of governance.

**Chief Officer**  
**Harry Stevenson**

**Chair**  
**Jackie Burns**

**Date**

**Date**

**STATEMENT OF INCOME AND EXPENDITURE FOR THE YEAR ENDED 31 MARCH 2016**

2014/2015				2015/2016		
Gross Expenditure	Gross Income	Net		Gross Expenditure	Gross Income	Net
£'000	£'000	£'000		£'000	£'000	£'000
-	-	-	Health and Social Care	40	(40)	-
-	-	-	Corporate Services	-	-	-
-	-	-	(Surplus)/Deficit on provision of services	40	(40)	-
-	-	-	Net Income and Expenditure	40	(40)	-

## BALANCE SHEET AS AT 31 MARCH 2016

	Notes	31 March 2016	31 March 2015
		£'000	£'000
<b>Current assets</b>			
Short term debtors	4	-	-
<b>Current liabilities</b>			
Short term creditors	5	-	-
<b>Net assets / (liabilities)</b>		-	-
Usable reserves	6	-	-
Unusable reserves		-	-
<b>Total reserves</b>		-	-

The Statement of Accounts present a true and fair view of the financial position of the South Lanarkshire Integration Joint Board as at 31 March 2016 and its income and expenditure for the year then ended.

The unaudited financial statements were authorised for issue on 28 June 2016.

**Chief Financial Officer**  
**Marie Moy**

**Date**

## NOTES TO THE FINANCIAL STATEMENTS

### 1. Accounting policies

#### 1.1 General principles

The financial statements summarise the transactions of the IJB for the 2015/2016 financial year and its position at the year end. The IJB is required under legislation to prepare annual financial statements in accordance with Section 106 of the Local Government (Scotland) Act 1973. This determines that the IJB will produce audited accounts, that the external audit will be undertaken by auditors appointed by the Audit Commission and that the financial statements will be prepared in accordance with the Code of Practice in Local Authority Accounting in the UK.

The financial statements are prepared under the historical cost convention as modified for the valuation of certain assets.

#### 1.2 Accruals of income and expenditure

The financial statements have been prepared on an income and expenditure basis whereby activity is accounted for in the year that it takes place, not simply when the payments are made or received.

#### 1.3 VAT status

The Integration Joint Board is a non-taxable person and does not charge or recover VAT on its functions.

#### 1.4 Provisions, contingent liabilities and assets

Provisions are made for liabilities of uncertain timing or amount that have been incurred, with the value of each provision being based upon the obligation arising from past events, the probability that a transfer of economic benefit will take place and a reasonable estimate of the obligation.

Contingent assets and liabilities represent items that at 31 March 2016 are not recognised in the balance sheet but are disclosed in the notes to the accounts because there is significant uncertainty at that date as to the value and probability in respect of them.

#### 1.5 Events after the reporting period

The Chief Financial Officer issued the unaudited accounts on 28 June 2016. There have been no other material events since the date of the balance sheet which requires revision to the figures in the financial statements.

#### 1.6 Debtors and creditors

Where income and expenditure have been recognised but cash has not been received or paid, a debtor or creditor for the relevant amount is recorded in the balance sheet.

#### 1.7 Reserves

A reserve is the accumulation of surpluses, deficits and appropriation over a number of years. Reserves of a revenue nature are available and can be spent or earmarked at the discretion of the IJB. Reserves should be split between usable and unusable on the balance sheet however, in the short term, due to their nature, the IJB will not require unusable reserves. As at 31 March 2016 there are no reserve balances.

## 2. Related party transactions

The South Lanarkshire Integration Joint Board was established on 6 October 2015 as a body corporate between NHS Lanarkshire Health Board and South Lanarkshire Council. In the year the following transactions were made with NHS Lanarkshire Health Board and South Lanarkshire Council relating to integrated health and social care functions:

### Income – payments for integrated functions

Income was received equally from 2 parties as follows:

	2015/2016	2014/2015
	£'000	£'000
NHS Lanarkshire Health Board	20	-
South Lanarkshire Council	20	-
<b>Total</b>	<b>40</b>	<b>-</b>

### Expenditure – payments for delivery of integrated functions

	2015/2016	2014/2015
	£'000	£'000
NHS Lanarkshire Health Board	20	-
South Lanarkshire Council	20	-
<b>Total</b>	<b>40</b>	<b>-</b>

## 3. Corporate expenditure

The expenditure across the subjective spend lines is shown below:

	2015/2016	2014/2015
	£'000	£'000
Staff costs	40	-
Administrative costs	-	-
Audit fees	-	-
<b>Total</b>	<b>40</b>	<b>-</b>

## 4. Short term debtors

	2015/2016	2014/2015
	£'000	£'000
Central government bodies	-	-
Other local authorities	-	-
<b>Total</b>	<b>-</b>	<b>-</b>

## 5. Short term creditors

	2015/2016	2014/2015
	£'000	£'000
Central government bodies	-	-
Other local authorities	-	-
<b>Total</b>	-	-

## 6. Movement in reserves

Usable reserves – general fund	2015/2016	2014/2015
	£'000	£'000
<b>Balance at 31 March brought forward</b>	-	-
Surplus/(deficit) on provision of services	-	-
Other comprehensive expenditure and income	-	-
<b>Total comprehensive expenditure and income</b>	-	-
<b>Balance at 31 March carried forward</b>	-	-

## 7. Post balance sheet events

There were no events from the balance sheet date until the date of signing the accounts to be taken into consideration.

## 8. Contingent Assets and Liabilities

The IJB is not aware of any material contingent asset or liability as at 31 March 2016.

## Audit Arrangements

Under the arrangements approved by the Commission for Local Authority Accounts in Scotland ("The Accounts Commission"), the auditor with overall responsibility for the audit of the accounts of the South Lanarkshire Integration Joint Board for the year ended 31 March 2016 is PricewaterhouseCoopers LLP, 141 Bothwell Street, Glasgow, G2 7EQ.



Report to:	<b>South Lanarkshire Integration Joint Board</b>
Date of Meeting:	<b>28 June 2016</b>
Report by:	<b>Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership</b>

Subject:	<b>Finance Paper - Voluntary Sector Progress</b>
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## 1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ update the Integrated Joint Board (IJB) on the allocation of awards to South Lanarkshire Voluntary Organisations from the Integrated Care Fund (ICF).

## 2. Recommendation(s)

2.1. The Integrated Joint Board is asked to approve the following recommendation(s):-

- (1) that the allocation of awards to South Lanarkshire Voluntary Organisations from the Integrated Care Fund (ICF) be noted.

## 3. Background

3.1. The ICF has been made available to the third sector to support the Health and Social Care Partnership (HSCP) in the delivery of the national outcomes for Health and Social Care.

3.2. Vaslan (Voluntary Action South Lanarkshire) alongside HSCP staff established an application process inviting organisations to submit proposals for consideration. Evidence of need, geographical area covered, beneficiaries, links to national outcomes, outcomes and detailed project costs where required for each proposal.

3.3. The ICF allocation of £650,000 received a total number of 26 bids. The application and assessment process undertaken was designed to ensure that the ICF would further improve the range and capacity of cost effective third sector services and support for the community that can be clearly linked to the national health and wellbeing outcomes. After evaluation, further scrutiny and the supply of additional information, successful project bids have now been agreed.

3.4. Part of the process also involved matching all the bids against the 9 health and wellbeing outcomes and the 10 strategic commissioning priorities to ensure there was the necessary strategic fit with the strategic commissioning plan.

## 4. Current Situation

4.1. Nineteen successful bids are now being taken forward with a total current allocation of £619,856 per annum. These recommendations were agreed at the Strategic Commissioning Group meeting on 22 April 2016. A balance of £30,144 remains uncommitted.

4.2. The geographical spread of the projects is outlined in the table below.

South Lanarkshire wide	Clydesdale	Hamilton	E. Kilbride	Rutherglen/Cambuslang
7	6	3	3	3

4.3. The support types addressed by the projects are outlined in the table below.

Self Management	Independence	Connectivity	Health Education	Respite	Mental Health	Peer support	1:1 Support	Information	Signposting	Befriending	Physical Health	Alternative Therapy	Social Prescription
11	5	9	6	5	5	8	6	5	3	4	3	3	3

## 5. Employee Implications

5.1. The individual projects will be employing a range of staff to carry out their specific areas of work.

## 6. Financial Implications

6.1. Details of the projects funded from the ICF are attached as an appendix. Subject to satisfactory achievement of the agreed project outcomes, the funding is being made available for two years, 2016/2017 and 2017/2018.

6.2. The ICF is being administered by Social Work Resources. The first quarter payment is being processed for all projects.

6.3. Monitoring of project outcomes will be undertaken by staff from both Vaslan and Social Work Resources. Additional leverage can already be highlighted by 76% of the approved applications having identified match funding in support of the original application.

6.4. Further consideration will be given to how the uncommitted balances in each of the two years will be allocated.

## 7. Other Implications

7.1. There are no risk implications associated within the content of this report.

7.2. There are no sustainable development issues associated with this report.

7.3. Project monitoring systems need to be robust to ensure projects are on target and delivering on national outcomes.

## 8. Equality Impact Assessment and Consultation Arrangements

8.1. There is no requirement to undertake an equality impact assessment as a result of this report.

8.2. Voluntary organisations have been canvassed and consulted in terms of participating in the application process to the fund.

**Harry Stevenson**  
**Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership**

Date created: 20 May 2016

**Previous References**

- ◆ none

**List of Background Papers**

- ◆ none

**Contact for Further Information**

If you would like to inspect the background papers or want further information, please contact:-

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Telephone: 01698 300390

Email: [gordon.bennie@vaslan.org.uk](mailto:gordon.bennie@vaslan.org.uk)



Third Sector Integrated Care Fund  
Final Allocation

Ref	Organisation Name	Project Objectives	Funding Approved				Support Type													Locality					
			16/17	17/18	Total	% Total Project Costs	Self Management	Independence	Connectivity	Health Education	Respite	Mental Health	Peer support	1:1 Support	Information	Signposting	Befriending	Physical Health	Alternative Therapy	Social Prescription	National health and wellbeing outcomes	S. Lanarkshire	Clydesdale	Hamilton	F. Kilbride
2	Covey	Service targeted at carers of children/young people with additional needs, monthly peer support sessions in the community (day and evening).	5,903	5,903	11,806	85%	1			1										1,4,5,6			1	1	
4	LEAP	Service targeted at those with limited mobility or are housebound, the service provides befriending and handy person services.	25,400	25,400	50,800	32%		1								1				1,2,5				1	1
5	CHSS	Service targeted at those living with cardiac or respiratory conditions to achieve a better quality of life through increased opportunities to obtain health information and psychological support.	33,789	32,169	65,958	100%	1	1	1					1		1				1,2,4,6,9	1				
6	CCI	Service targeted at those with long-term physical and mental ill-health issues, targeting the development of skills and tackle barriers to employment.	14,899	14,571	29,470	54%	1		1			1	1	1						1,5		1			
7	EK shopmobility	Service targeted at the further development of a community hub in East Kilbride, offering a range of supports related to health and wellbeing,	49,000	39,000	88,000	100%			1	1	1			1	1					1,2,3,4,6,7,9				1	
9	LAMH	Service targeted at non dementia Mental Health Support for those 60+. Promoting self management and independence	14,984	14,984	29,968	92%	1		1			1		1						ALL		1			
10	Alzheimer Scotland	Service targeted at extending the Dementia Friendly Communities (DFC) model in South Lanarkshire. Linking with businesses, statutory and 3rd sectors. <b>NOTE: Its is recommended that funding of £70k per year be allocated to this provision.</b>	70,000	70,000	140,000	100%	1	1	1	1										2,4,5,6,8,9	1				
11	healthy Valleys	Service targeted at building a series of community health cafes to provide learning and education around health and nutrition.	59,282	59,282	118,564	93%		1		1			1							1,2,5		1			
14	Lanarkshire Carers Centre	Service targeted at doubling the funding for carer mini breaks to enable an increase in the number of grants available to carers.	2,875	-	2,875	50%					1									1,2,6	1				
15	Lanarkshire Carers Centre	Service targeted at expanding the Lanarkshire Short breaks information service to cover the South Lanarkshire area, this will include the exploration and further development of respite offers available to carers.	42,460	43,637	86,096	58%					1									1,6,8,9	1				
16	The Haven	Service targeted at providing a home based service for people with dementia and their carer's, providing home based need assessments, therapeutic services, signposting, befriending and respite. (Clydesdale)	15,000	15,000	30,000	37%	1				1			1		1				1,2,5,9		1			
17	The Haven	Service targeted at providing a home based service for people with dementia and their carer's, providing home based need assessments, therapeutic services, signposting, befriending and respite. (Hamilton)	15,000	15,000	30,000	38%	1				1			1		1				1,2,5,9			1		
18	Healthy and Happy	Service targeted at building personal capacity through access to a range of services designed to improve health and wellbeing, these services are tailored to individual need in a range of formats.	79,888	79,888	159,776	31%	1		1			1	1	1					1	1,4,5,9					1
20	Sense Scotland	Service targeted at supporting independent living for people with complex communication support needs, allowing them to have greater choice and take a more active part in community life.	15,000	15,000	30,000	78%		1	1	1										1,3,4	1				
21	CAB Hamilton	Service targeted at the development of community based health and welfare advice hub model for Hamilton and Clydesdale. The service will link closely with GP's and front line social care practitioners and will work around the social prescription model of intervention.	79,972	79,972	159,944	66%	1					1		1					1	1,2,3,4,5,6		1	1		
26	PAMIS	Service targeted at providing a counselling service to enable carers to explore the impact of their carer's role on their emotional health and wellbeing.	12,121	12,121	24,241	100%	1			1		1	1				1			1,6	1				
8	forward @ fifty	Service targeted at the delivery of weekly physical and wellbeing introductory sessions in local community venues. The main driver is the provision of activity sessions rotating across South Lanarkshire.	29,720	29,720	59,440	100%						1		1	1		1			1,5	1				
12	Healthy Valleys	Service targeted at the establishment of 2 community hubs to act as one stop shops for community health activity and information. The project is seeking to establish a social prescription model with GP's for referrals to hubs.	39,717	39,717	79,434	60%	1		1			1							1	1,5,6		1			
19	Camglen Radio	Service targeted at people with long-term conditions, disabilities, mental ill health issues and older people. The service will seek to recruit volunteers with additional support needs and provide training and supported volunteer opportunities to boost confidence, skills and promote meaningful social contact.	14,847	14,847	29,694	46%			1				1							1,2,5					1
Allocation			£ 619,856	£ 606,210	£ 1,226,066		11	5	9	6	5	5	8	6	5	3	4	3	3		7	6	3	3	3
Underspend			£ 30,144	£ 43,790	£ 73,934																				
Ref	Organisation Name	Project Objectives	Funding Requested				Support Type													Locality					
			16/17	17/18	Total	% Total Project Costs	Self Management	Independence	Connectivity	Health Education	Respite	Mental Health	Peer support	1:1 Support	Information	Signposting	Befriending	Physical Health	Alternative Therapy	Social Prescription	National health and wellbeing outcomes	S. Lanarkshire	Clydesdale	Hamilton	F. Kilbride
1	Women's Aid	Co-ordination of volunteers to provide peer supports	26,705	25,525	52,229	100%						1								1,3,4,7	1				
3	MAF	Child sexual abuse survivors support and counselling services	8,533	8,798	17,331	15%					1	1	1							1,3,4,5	1				
13	Lanarkshire Carers Centre	Chior Taster Sessions & production of a song for carers	1,000	-	1,000	52%				1	1		1							1,6	1				
22	DEAF	Support service for deaf community/information events	39,463	39,463	78,927	90%			1	1			1							ALL	1				
23	St Andrews Hospice	Home based Palliative Care and befriending service for life limiting conditions	80,000	-	80,000	62%							1	1	1		1			ALL	1				
24	Care and Repair	3rd sector co-ordination of home supports to promote independent living	31,300	-	31,300	88%		1					1	1						2,6,9		1			
25	Lan Epilepsy Support Group	Supports to reduce "did not attend" rates at Epilepsy clinics	14,958	-	14,958	100%						1		1	1	1				1,9		1			
Total			£ 201,959	£ 73,786	£ 275,745																5	2			



Report to:	<b>South Lanarkshire Integration Joint Board</b>
Date of Meeting:	<b>28 June 2016</b>
Report by:	<b>Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership</b>

Subject:	<b>Integration Joint Boards - Code of Conduct</b>
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## 1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ present to the Integration Joint Board (IJB) a copy of the Code of Conduct for the South Lanarkshire IJB.

## 2. Recommendation(s)

2.1. The Integrated Joint Board is asked to approve the following recommendation(s):-

- (1) that the Code of Conduct is approved and adopted by the South Lanarkshire IJB;
- (2) that a copy is sent to the Scottish Government for approval; and
- (3) that following approval arrangements be made for the Code of Conduct and Register of Members' Interests to be published.

## 3. Background

- 3.1. From the 01 April 2016, IJBs across Scotland became fully operational, thus allowing for the next implementation phase of the integration of health and social care.
- 3.2. Given that IJBs are now devolved public bodies, there are a number of duties and responsibilities which they must adhere to.
- 3.3. One of these duties is how an IJB will meet the requirements set out in the Ethical Standards of Public Life (Scotland) Act 2000 and specifically in relation to the requirement to produce a Code of Conduct.
- 3.4. To assist with this, the Scottish Government has worked with the Commissioner for Ethical Standards and the Standards Commission to prepare a Model Code of Conduct for Members of Devolved Public Bodies.
- 3.5. It has been stipulated by the Scottish Government that there will be an expectation for all IJBs across Scotland to implement the Code in full. Should additions or changes be required, then these should be made and submitted within the national deadline date of 21 June 2016 for approval of final Codes of Conduct.
- 3.6. Once submitted, the Scottish Government will then be required to approve each Code of Conduct for IJBs across Scotland.

#### 4. Summary of Key Aspects within the Model Code of Conduct

4.1. The Model Code of Conduct attached in Appendix 1 covers a number of important aspects that members of IJBs must be aware of and adhere to. The following provides a summary of these:

4.1.1. General Principles – there are nine principles upon which the Code is constructed, which cover aspects such as Duty, Selflessness, Integrity, Objectivity, Accountability and Stewardship, Openness, Honesty, Leadership and Respect. It is expected that all of these should be applied when dealing with IJB business and also any dealing with the public.

4.1.2. General Conduct – covers a number of important areas relating to conduct at meetings, the relationship with fellow IJB Members, Remuneration, Allowances and Expenses, how to deal with Gifts and Hospitality, issues of confidentiality, how to use facilities provided by local authorities and the Health Board and appointments to partner organisations.

4.1.3. Registration of Interests – sets out the kinds of interests that members of the IJB would be expected to register. There are seven distinct categories under this particular area as follows:

- ♦ category 1 - being interests related to remuneration by virtue of being employed, self-employed, an office holder, a director of an undertaking, a partner in a company/firm or undertaking a trade, profession or any other work;
- ♦ category 2 - relating to undertakings even though they may not be remunerated;
- ♦ category 3 - relating to contracts that you may hold an interest in;
- ♦ category 4 - relates to houses, land and buildings where you have an interest or own;
- ♦ category 5 - any interest in shares and securities;
- ♦ category 6 - gifts and hospitality; and
- ♦ category 7 – non-financial interests related to aspects such as membership of other public offices, clubs or societies.

4.1.4. Declaration of Interests – declaration of interests relate strongly to areas of the Code such as Integrity, Honesty and Openness. In considering whether or not to make a declaration, it is important that compliance with the **Objective Test** is adhered to, for example, this is where a member of the public with knowledge of relevant facts, would reasonably regard the interest so significant that it is likely to prejudice your discussion or decision-making in your role as an IJB member. The types of interests which require to be declared fall into the categories as follows:

- ♦ Your Financial interests – you must declare any financial interest that is known to you. Where interests are disclosed, it is up to the particular IJB member declaring the interest, whether or not it is appropriate for them to take part in the discussion. However, there is no need to declare an interest under this category which is so remote or insignificant that it could not reasonably be taken to fall within the objective test ;
- ♦ Your Non-Financial Interests – any non-financial interest must be declared where it is known. Where interests are disclosed, it is up to the particular IJB member declaring the interest, whether or not it is appropriate for them to take part in the discussion. As above, there is no need to declare an interest under this category which is so remote or insignificant that it could not reasonably be taken to fall within the objective test;
- ♦ The Financial and Non-Financial Interests of Other Persons – this relates to the declaration of interests of a spouse, civil partner, relatives or employer etc; and



- ◆ Lobbying and Access to Members of Public Bodies – the Code of Conduct sets out the rules and guidance with regards to lobbying and access to members of public bodies. In terms of this, IJB members should adhere to the nine principles of the Code and also refer to the roles, responsibilities and membership guidance for members of IJBs in Scotland.

4.2. Attached within Appendix 1, is a full copy of the Code of Conduct for South Lanarkshire IJB Members for their information, reference and application.

## **5. Next Steps**

5.1. It is proposed that the Code of conduct set out in Appendix 1 is adopted with immediate effect following IJB approval.

## **6. Employee Implications**

6.1. There are no employee implications associated with this report.

## **7. Financial Implications**

7.1. There are no financial implications associated with this report.

## **8. Other Implications**

8.1. There are no additional risks associated with this report.

8.2. There are no sustainable development issues associated with this report.

8.3. There are no other issues associated with this report.

## **9. Equality Impact Assessment and Consultation Arrangements**

9.1. An equality impact assessment is not required as this does not introduce a new policy or strategy.

9.2. The draft Code of Conduct will be presented to IJB members for their consideration.

**Harry Stevenson**

**Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership**

Date created: 25 May 2016

## **Previous References**

Minutes of Inaugural Meeting on 6 October 2015, Paragraph 7

## **List of Background Papers**

None

## **Contact for Further Information**

If you would like to inspect the background papers or want further information, please contact:-

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**CODE of CONDUCT**  
**for**  
**MEMBERS**  
**of**  
**South Lanarkshire Integration Joint Board**

# **CODE OF CONDUCT for MEMBERS the South Lanarkshire Integration Joint Board**

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## **SECTION 1: INTRODUCTION TO THE CODE OF CONDUCT**

1.1 The Scottish public has a high expectation of those who serve on the boards of public bodies and the way in which they should conduct themselves in undertaking their duties. You must meet those expectations by ensuring that your conduct is above reproach.

1.2 The Ethical Standards in Public Life etc. (Scotland) Act 2000, “the 2000 Act”, provides for Codes of Conduct for local authority Councillors and members of relevant public bodies; imposes on councils and relevant public bodies a duty to help their members to comply with the relevant Code; and establishes a Standards Commission for Scotland, “The Standards Commission” to oversee the new framework and deal with alleged breaches of the Codes.

1.3 The 2000 Act requires the Scottish Ministers to lay before Parliament a Code of Conduct for Councillors and a Model Code for Members of Devolved Public Bodies. The Model Code for members was first introduced in 2002 and has now been revised in December 2013 following consultation and the approval of the Scottish Parliament. These revisions will make it consistent with the relevant parts of the Code of Conduct for Councillors, which was revised in 2010 following the approval of the Scottish Parliament.

The Public Bodies (Joint Working) (Scotland) Act 2014 (Consequential Amendments & Savings) Order 2015 has determined that South Lanarkshire Integration Joint Boards are “devolved public bodies” for the purposes of the 2000 Act.

1.4 This Code for Integration Joint Boards has been specifically developed using the Model Code and the statutory requirements of the 2000 Act. As a member of South Lanarkshire Integration Joint Board, “the IJB”, it is your responsibility to make sure that you are familiar with, and that your actions comply with, the provisions of this Code of Conduct which has now been made by the IJB.

This Code applies when you are acting as a member of South Lanarkshire Integration Joint Board and you may also be subject to another Code of Conduct.

### **Appointments to the Boards of Public Bodies**

1.5 Whilst your appointment as a member of an Integration Joint Board sits outside the Ministerial appointment process, you should have an awareness of the system surrounding public appointments in Scotland. Further information can be found in the public appointment section of the Scottish Government website at [www.appointed-for-scotland.org](http://www.appointed-for-scotland.org).

Details of IJB membership requirements are set out in the Public Bodies (Joint Working) (Integration Joint Boards) (Scotland) Order 2014 and further helpful information is contained in the “Roles, Responsibilities and Membership of the Integration Joint Board” guidance, which also includes information on Equality Duties and Diversity.

Public bodies in Scotland are required to deliver effective services to meet the needs of an increasingly diverse population. In addition, the Scottish Government’s equality outcome on public appointments is to ensure that Ministerial appointments are more diverse than at present. In order to meet both of these aims, a board should ideally be drawn from varied backgrounds with a wide spectrum of characteristics, knowledge and experience. It is crucial to the success of public bodies that they attract the best people for the job and therefore it is essential that a board’s appointments process should encourage as many suitable people to apply for positions and be free from unnecessary barriers. You should

therefore be aware of the varied roles and functions of the IJB on which you serve and of wider diversity and equality issues.

1.6 You should also familiarise yourself with how South Lanarkshire Integration Joint Board policy operates in relation to succession planning, which should ensure that the IJB has a strategy to make sure they have the members in place with the skills, knowledge and experience necessary to fulfil their role economically, efficiently and effectively.

### **Guidance on the Code of Conduct**

1.7 You must observe the rules of conduct contained in this Code. It is your personal responsibility to comply with these and review regularly, and at least annually, your personal circumstances with this in mind, particularly when your circumstances change. You must not at any time advocate or encourage any action contrary to the Code of Conduct.

1.8 The Code has been developed in line with the key principles listed in Section 2 and provides additional information on how the principles should be interpreted and applied in practice. The Standards Commission may also issue guidance. No Code can provide for all circumstances and if you are uncertain about how the rules apply, you should in the first instance seek advice from the Chair of the IJB. You may also choose to consult your own legal advisers and, on detailed financial and commercial matters, seek advice from other relevant professionals.

1.9 You should familiarise yourself with the Scottish Government publication “On Board – a guide for board members of public bodies in Scotland” and the “Roles, Responsibilities and Membership of the Integration Joint Board” guidance. These publications will provide you with information to help you in your role as a member of an Integration Joint Board, and can be viewed on the Scottish Government website.

### **Enforcement**

1.10 Part 2 of the 2000 Act sets out the provisions for dealing with alleged breaches of this Code of Conduct and where appropriate the sanctions that will be applied if the Standards Commission finds that there has been a breach of the Code. Those sanctions are outlined in **Annex A**.

## **SECTION 2: KEY PRINCIPLES OF THE CODE OF CONDUCT**

2.1 The general principles upon which this Code is based should be used for guidance and interpretation only. These general principles are:

### **Duty**

You have a duty to uphold the law and act in accordance with the law and the public trust placed in you. You have a duty to act in the interests of South Lanarkshire Integration Joint Board and in accordance with the core functions and duties of the IJB.

### **Selflessness**

You have a duty to take decisions solely in terms of public interest. You must not act in order to gain financial or other material benefit for yourself, family or friends.

### **Integrity**

You must not place yourself under any financial, or other, obligation to any individual or organisation that might reasonably be thought to influence you in the performance of your duties.

### **Objectivity**

You must make decisions solely on merit and in a way that is consistent with the functions of South Lanarkshire Integration Joint Board when carrying out public business including making appointments, awarding contracts or recommending individuals for rewards and benefits.

### **Accountability and Stewardship**

You are accountable for your decisions and actions to the public. You have a duty to consider issues on their merits, taking account of the views of others and must ensure that South Lanarkshire Integration Joint Board uses its resources prudently and in accordance with the law.

### **Openness**

You have a duty to be as open as possible about your decisions and actions, giving reasons for your decisions and restricting information only when the wider public interest clearly demands.

### **Honesty**

You have a duty to act honestly. You must declare any private interests relating to your public duties and take steps to resolve any conflicts arising in a way that protects the public interest.

### **Leadership**

You have a duty to promote and support these principles by leadership and example, and to maintain and strengthen the public's trust and confidence in the integrity of South Lanarkshire Integration Joint Board and its members in conducting public business.

### **Respect**

You must respect fellow members of South Lanarkshire Integration Joint Board and employees of related organisations supporting the operation of the IJB and the role they play, treating them with courtesy at all times. Similarly you must respect members of the public when performing duties as a member of South Lanarkshire Integration Joint Board.

2.2 You should apply the principles of this Code to your dealings with fellow members of South Lanarkshire Integration Joint Board, employees of related organisations supporting the operation of the IJB and other stakeholders. Similarly you should also observe the principles of this Code in dealings with the public when performing duties as a member of South Lanarkshire Integration Joint Board.

## **SECTION 3: GENERAL CONDUCT**

3.1 The rules of good conduct in this section must be observed in all situations where you act as a member of the IJB.

## **Conduct at Meetings**

3.2 You must respect the chair, your colleagues and employees of related organisations supporting the operation of the IJB in meetings. You must comply with rulings from the chair in the conduct of the business of these meetings. You should familiarise yourself with the Standing Orders for South Lanarkshire Integration Joint Board, which govern the Board's proceedings and business. The "Roles, Responsibilities and Membership of the Integration Joint Board" guidance, will also provide you with further helpful information.

## **Relationship with IJB Members and Employees of Related Organisations**

3.3 You will treat your fellow IJB members and employees of related organisations supporting the operation of the IJB with courtesy and respect. It is expected that fellow IJB members and employees of related organisations supporting the operation of the IJB will show you the same consideration in return. It is good practice for employers to provide examples of what is unacceptable behaviour in their organisation and the Health Board or local authority of the IJB should be able to provide this information to any IJB member on request.

Public bodies should promote a safe, healthy and fair working environment for all. As a member of South Lanarkshire Integration Joint Board you should be familiar with any policies of the Health Board and local authority of the IJB as a minimum in relation to bullying and harassment in the workplace, and also lead by exemplar behaviour.

## **Remuneration, Allowances and Expenses**

3.4 You must comply with any rules applying to the IJB regarding remuneration, allowances and expenses.

## **Gifts and Hospitality**

3.5 You must not accept any offer by way of gift or hospitality which could give rise to real or substantive personal gain or a reasonable suspicion of influence on your part to show favour, or disadvantage, to any individual or organisation. You should also consider whether there may be any reasonable perception that any gift received by your spouse or cohabitee or by any company in which you have a controlling interest, or by a partnership of which you are a partner, can or would influence your judgement. The term "gift" includes benefits such as relief from indebtedness, loan concessions or provision of services at a cost below that generally charged to members of the public.

3.6 You must never ask for gifts or hospitality.

3.7 You are personally responsible for all decisions connected with the offer or acceptance of gifts or hospitality offered to you and for avoiding the risk of damage to public confidence in your IJB. As a general guide, it is usually appropriate to refuse offers except:

- (a) isolated gifts of a trivial character, the value of which must not exceed £50;
- (b) normal hospitality associated with your duties and which would reasonably be regarded as appropriate; or
- (c) gifts received on behalf of the IJB.

3.8 You must not accept any offer of a gift or hospitality from any individual or organisation which stands to gain or benefit from a decision that South Lanarkshire Integration Joint Board may be involved in determining, or who is seeking to do business



with your IJB, and which a person might reasonably consider could have a bearing on your judgement. If you are making a visit in your capacity as a member of South Lanarkshire Integration Joint Board then, as a general rule, you should ensure that your IJB pays for the cost of the visit.

3.9 You must not accept repeated hospitality or repeated gifts from the same source.

3.10 As a member of a devolved public body, you should familiarise yourself with the terms of the Bribery Act 2010 which provides for offences of bribing another person and offences relating to being bribed.

### **Confidentiality Requirements**

3.11 There may be times when you will be required to treat discussions, documents or other information relating to the work of South Lanarkshire Integration Joint Board in a confidential manner. You will often receive information of a private nature which is not yet public, or which perhaps would not be intended to be public. You must always respect the confidential nature of such information and comply with the requirement to keep such information private.

3.12 It is unacceptable to disclose any information to which you have privileged access, for example derived from a confidential document, either orally or in writing. In the case of other documents and information, you are requested to exercise your judgement as to what should or should not be made available to outside bodies or individuals. In any event, such information should never be used for the purposes of personal or financial gain or for political purposes or used in such a way as to bring South Lanarkshire Integration Joint Board into disrepute.

### **Use of Health Board or Local Authority Facilities by Members of the IJB**

3.13 Members of South Lanarkshire Integration Joint Board must not misuse facilities, equipment, stationery, telephony, computer, information technology equipment and services, or use them for party political or campaigning activities. Use of such equipment and services etc. must be in accordance with the Health Board or local authority policy and rules on their usage. Care must also be exercised when using social media networks not to compromise your position as a member of South Lanarkshire Integration Joint Board.

### **Appointment to Partner Organisations**

3.14 In the unlikely circumstances that you may be appointed, or nominated by South Lanarkshire Integration Joint Board, as a member of another body or organisation, you are bound by the rules of conduct of these organisations and should observe the rules of this Code in carrying out the duties of that body.

3.15 Members who become directors of companies as nominees of their IJB will assume personal responsibilities under the Companies Acts. It is possible that conflicts of interest can arise for such members between the company and the IJB. It is your responsibility to take advice on your responsibilities to the IJB and to the company. This will include questions of declarations of interest.

## **SECTION 4: REGISTRATION OF INTERESTS**

4.1 The following paragraphs set out the kinds of interests, financial and otherwise which you have to register. These are called “Registerable Interests”. You must, at all times, ensure that these interests are registered, when you are appointed and whenever your circumstances change in such a way as to require change or an addition to your entry in the IJB’s Register. It is your duty to ensure any changes in circumstances are reported within one month of them changing.

4.2 The Regulations<sup>1</sup> as amended describe the detail and timescale for registering interests. It is your personal responsibility to comply with these regulations and you should review regularly and at least once a year your personal circumstances. Annex B contains key definitions and explanatory notes to help you decide what is required when registering your interests under any particular category. The interests which require to be registered are those set out in the following paragraphs and relate to you. It is not necessary to register the interests of your spouse or cohabitee.

### **Category One: Remuneration**

4.3 You have a Registerable Interest where you receive remuneration by virtue of being:

- employed;
- self-employed;
- the holder of an office;
- a director of an undertaking;
- a partner in a firm; or
- undertaking a trade, profession or vocation or any other work.

This requirement also applies where, by virtue of your employment in a particular post, you are required to be a member of the IJB.

4.4 In relation to 4.3 above, the amount of remuneration does not require to be registered and remuneration received as a member does not have to be registered.

4.5 If a position is not remunerated it does not need to be registered under this category. However, unremunerated directorships may need to be registered under category two, “Related Undertakings”.

4.6 If you receive any allowances in relation to membership of any organisation, the fact that you receive such an allowance must be registered.

4.7 When registering employment, you must give the name of the employer, the nature of its business, and the nature of the post held in the organisation.

4.8 When registering self-employment, you must provide the name and give details of the nature of the business. When registering an interest in a partnership, you must give the name of the partnership and the nature of its business.

4.9 Where you undertake a trade, profession or vocation, or any other work, the detail to be given is the nature of the work and its regularity. For example, if you write for a newspaper, you must give the name of the publication, and the frequency of articles for which you are paid.

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<sup>1</sup> SSI - The Ethical Standards in Public Life etc. (Scotland) Act 2000 (Register of Interests) Regulations 2003 Number 135, as amended.

4.10 When registering a directorship, it is necessary to provide the registered name of the undertaking in which the directorship is held and the nature of its business.

4.11 Registration of a pension is not required as this falls outside the scope of the category.

### **Category Two: Related Undertakings**

4.12 You must register any directorships held which are themselves not remunerated but where the company (or other undertaking) in question is a subsidiary of, or a parent of, a company (or other undertaking) in which you hold a remunerated directorship.

4.13 You must register the name of the subsidiary or parent company or other undertaking and the nature of its business, and its relationship to the company or other undertaking in which you are a director and from which you receive remuneration.

4.14 The situations to which the above paragraphs apply are as follows:

- you are a director of a board of an undertaking and receive remuneration declared under category one – and
- you are a director of a parent or subsidiary undertaking but do not receive remuneration in that capacity.

### **Category Three: Contracts**

4.15 You have a registerable interest where you (or a firm in which you are a partner, or an undertaking in which you are a director or in which you have shares of a value as described in paragraph 4.19 below) have made a contract with the IJB of which you are a member:

- (i) under which goods or services are to be provided, or works are to be executed; and
- (ii) which has not been fully discharged.

4.16 You must register a description of the contract, including its duration, but excluding the consideration.

### **Category Four: Houses, Land and Buildings**

4.17 You have a registerable interest where you own or have any other right or interest in houses, land and buildings, which may be significant to, of relevance to, or bear upon, the work and operation of the body to which you are appointed.

4.18 The test to be applied when considering appropriateness of registration is to ask whether a member of the public acting reasonably might consider any interests in houses, land and buildings could potentially affect your responsibilities to the organisation to which you are appointed and to the public, or could influence your actions, speeches or decision making.

### **Category Five: Interest in Shares and Securities**

4.19 You have a registerable interest where you have an interest in shares comprised in the share capital of a company or other body which may be significant to, of relevance to, or

bear upon, the work and operation of (a) the body to which you are appointed and (b) the **nominal value** of the shares is:

- (i) greater than 1% of the issued share capital of the company or other body; or
- (ii) greater than £25,000.

Where you are required to register the interest, you should provide the registered name of the company in which you hold shares; the amount or value of the shares does not have to be registered.

### **Category Six: Gifts and Hospitality**

4.20 You must register the details of any gifts or hospitality received within your current term of office. This record will be available for public inspection. It is not however necessary to record any gifts or hospitality as described in paragraph 3.7 (a) to (c) of this Code.

### **Category Seven: Non-Financial Interests**

4.21 You may also have a registerable interest if you have non-financial interests which may be significant to, of relevance to, or bear upon, the work and operation of the IJB to which you are appointed. It is important that relevant interests such as membership or holding office in other public bodies, clubs, societies and organisations such as trades unions and voluntary organisations, are registered and described. This requirement also applies where, by virtue of your membership of a particular group, you have been appointed to the IJB.

4.22 In the context of non-financial interests, the test to be applied when considering appropriateness of registration is to ask whether a member of the public might reasonably think that any non-financial interest could potentially affect your responsibilities to the organisation to which you are appointed and to the public, or could influence your actions, speeches or decision-making.

## **SECTION 5: DECLARATION OF INTERESTS**

### **General**

5.1 The key principles of the Code, especially those in relation to integrity, honesty and openness, are given further practical effect by the requirement for you to declare certain interests in proceedings of the IJB. Together with the rules on registration of interests, this ensures transparency of your interests which might influence, or be thought to influence, your actions. For further detail on the declaration requirements of South Lanarkshire Integration Joint Board, you can refer to the IJB's Standing Orders.

5.2 IJBs inevitably have dealings with a wide variety of organisations and individuals and this Code indicates the circumstances in which a business or personal interest must be declared. Public confidence in South Lanarkshire Integration Joint Board and its members depends on it being clearly understood that decisions are taken in the public interest and not for any other reason.

5.3 In considering whether to make a declaration in any proceedings, you must consider not only whether you will be influenced but whether anybody else would think that you might be influenced by the interest. You must, however, always comply with the **objective test** (“the objective test”) which is whether a member of the public, with knowledge of the relevant facts, would reasonably regard the interest as so significant that it is likely to prejudice your discussion or decision making in your role as a member of South Lanarkshire Integration Joint Board. You will wish to familiarise yourself with your IJB’s standing orders and the “Roles, Responsibilities and Membership of the Integration Joint Board” guidance.

5.4 If you feel that, in the context of the matter being considered, your involvement is neither capable of being viewed as more significant than that of an ordinary member of the public, nor likely to be perceived by the public as wrong, you may continue to attend the meeting and participate in both discussion and voting. The relevant interest must however be declared. It is your responsibility to judge whether an interest is sufficiently relevant to particular proceedings to require a declaration and you are advised to err on the side of caution. If a board member is unsure as to whether a conflict of interest exists, they should seek advice from the board chair in the first instance.

5.5 As a member of South Lanarkshire Integration Joint Board you might also serve on other bodies. In relation to service on the boards and management committees of limited liability companies, public bodies, societies and other organisations, you must decide, in the particular circumstances surrounding any matter, whether to declare an interest. Only if you believe that, in the particular circumstances, the nature of the interest is so remote or without significance, should it not be declared. You must always remember the public interest points towards transparency and, in particular, a possible divergence of interest between your IJB and another body. Keep particularly in mind the advice in paragraph 3.15 of this Code about your legal responsibilities to any limited company of which you are a director.

### **Interests which Require Declaration**

5.6 Interests which require to be declared if known to you may be financial or non-financial. They may or may not cover interests which are registerable under the terms of this Code. Most of the interests to be declared will be your personal interests but, on occasion, you will have to consider whether the interests of other persons require you to make a declaration. The paragraphs which follow deal with (a) your financial interests (b) your non-financial interests and (c) the interests, financial and non-financial, of other persons.

5.7 You will also have other private and personal interests and may serve, or be associated with, bodies, societies and organisations as a result of your private and personal interests and not because of your role as a member of an IJB. In the context of any particular matter you will need to decide whether to declare an interest. You should declare an interest unless you believe that, in the particular circumstances, the interest is too remote or without significance. In reaching a view on whether the objective test applies to the interest, you should consider whether your interest (whether taking the form of association or the holding of office) would be seen by a member of the public acting reasonably in a different light because it is the interest of a person who is a member of an IJB as opposed to the interest of an ordinary member of the public.

## **Your Financial Interests**

5.8 You must declare, if it is known to you, any financial interest (including any financial interest which is registerable under any of the categories prescribed in Section 4 of this Code). If, under category one (or category seven in respect of non-financial interests) of section 4 of this Code, you have registered an interest as a

- Councillor or a Member of another Devolved Public Body where the Council or other Devolved Public Body, as the case may be, has nominated or appointed you as a Member of the IJB, or you have been appointed to the IJB by virtue of your position under the Public Bodies (Joint Working) (Integration Joint Boards) (Scotland) Order 2014;

you do not, for that reason alone, have to declare that interest.

There is no need to declare an interest which is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

A member must disclose any direct or indirect pecuniary or other interest in relation to an item of business to be transacted at a meeting of the Integration Joint Board, or a committee of the Integration Joint Board, before taking part in any discussion on that item.

Where an interest is disclosed under the above terms the onus is on the member declaring the interest to decide whether, in the circumstances, it is appropriate for that member to take part in the discussion of, or voting on the item of business.

You must withdraw from the meeting room until discussion of and voting on the relevant item where you have a declarable interest is concluded. There is no need to withdraw in the case of an interest which is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

## **Your Non-Financial Interests**

5.9 You must declare, if it is known to you, any non-financial interest if:

- (i) that interest has been registered under category seven (Non-Financial Interests) of Section 4 of the Code; or
- (ii) that interest would fall within the terms of the objective test.

There is no need to declare an interest which is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

You do not have to declare an interest solely because you are a Councillor or Member of another Devolved Public Body or you have been appointed to the IJB by virtue of your position under the Public Bodies (Joint Working) (Integration Joint Boards) (Scotland) Order 2014.

A member must disclose any direct or indirect pecuniary or other interest in relation to an item of business to be transacted at a meeting of the Integration Joint Board, or a committee of the Integration Joint Board, before taking part in any discussion on that item.

Where an interest is disclosed under the above terms the onus is on the member declaring the interest to decide whether, in the circumstances, it is appropriate for that member to take part in the discussion of, or voting on the item of business.

You must withdraw from the meeting room until discussion of and voting on the relevant item where you have a declarable interest is concluded. There is no need to withdraw in the case of an interest which is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

### **The Financial Interests of Other Persons**

5.10 The Code requires only your financial interests to be registered. You also, however, have to consider whether you should declare any financial interest of certain other persons.

You must declare if it is known to you any financial interest of:-

- (i) a spouse, a civil partner or a co-habitee;
- (ii) a close relative, close friend or close associate;
- (iii) an employer or a partner in a firm;
- (iv) a body (or subsidiary or parent of a body) of which you are a remunerated member or director;
- (v) a person from whom you have received a registerable gift or registerable hospitality;
- (vi) a person from whom you have received registerable expenses.

There is no need to declare an interest if it is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

You must withdraw from the meeting room until discussion of and voting on the relevant item where you have a declarable interest is concluded. There is no need to withdraw in the case of an interest which is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

5.11 This Code does not attempt the task of defining “relative” or “friend” or “associate”. Not only is such a task fraught with difficulty but is also unlikely that such definitions would reflect the intention of this part of the Code. The key principle is the need for transparency in regard to any interest which might (regardless of the precise description of relationship) be objectively regarded by a member of the public, acting reasonably, as potentially affecting your responsibilities as a member of the IJB and, as such, would be covered by the objective test.

### **The Non-Financial Interests of Other Persons**

5.12 You must declare if it is known to you any non-financial interest of:-

- (i) a spouse, a civil partner or a co-habitee;
- (ii) a close relative, close friend or close associate;
- (iii) an employer or a partner in a firm;
- (iv) a body (or subsidiary or parent of a body) of which you are a remunerated member or director;
- (v) a person from whom you have received a registerable gift or registerable hospitality;
- (vi) a person from whom you have received registerable election expenses.

There is no need to declare the interest if it is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

There is only a need to withdraw from the meeting if the interest is clear and substantial.

### **Making a Declaration**

5.13 You must consider at the earliest stage possible whether you have an interest to declare in relation to any matter which is to be considered. You should consider whether agendas for meetings raise any issue of declaration of interest. Your declaration of interest must be made as soon as practicable at a meeting where that interest arises. If you do identify the need for a declaration of interest only when a particular matter is being discussed you must declare the interest as soon as you realise it is necessary.

5.14 The oral statement of declaration of interest should identify the item or items of business to which it relates. The statement should begin with the words "I declare an interest". The statement must be sufficiently informative to enable those at the meeting to understand the nature of your interest but need not give a detailed description of the interest.

### **Frequent Declarations of Interest**

5.15 Public confidence in an IJB is damaged by perception that decisions taken by that body are substantially influenced by factors other than the public interest. If members are frequently declaring interests at meetings then they should consider whether they can carry out their role effectively and discuss this at the earliest opportunity with their chair.

Similarly, if any appointment or nomination to another body would give rise to objective concern because of your existing personal involvement or affiliations, you should not accept the appointment or nomination.

### **Dispensations**

5.16 In some very limited circumstances dispensations can be granted by the Standards Commission in relation to the existence of financial and non-financial interests which would otherwise prohibit you from taking part and voting on matters coming before your IJB and its committees.

5.17 Applications for dispensations will be considered by the Standards Commission and should be made as soon as possible in order to allow proper consideration of the application in advance of meetings where dispensation is sought. You should not take part in the consideration of the matter in question until the application has been granted.



## **SECTION 6: LOBBYING AND ACCESS TO MEMBERS OF PUBLIC BODIES**

### **Introduction**

6.1 In order for South Lanarkshire Integration Joint Board to fulfil its commitment to being open and accessible, it needs to encourage participation by organisations and individuals in the decision-making process. Clearly however, the desire to involve the public and other interest groups in the decision-making process must take account of the need to ensure transparency and probity in the way in which South Lanarkshire Integration Joint Board conducts its business.

6.2 You will need to be able to consider evidence and arguments advanced by a wide range of organisations and individuals in order to perform your duties effectively. Some of these organisations and individuals will make their views known directly to individual members. The rules in this Code set out how you should conduct yourself in your contacts with those who would seek to influence you. They are designed to encourage proper interaction between members of public bodies, those they represent and interest groups. You should also familiarise yourself with the “Roles, Responsibilities and Membership” guidance for members of an Integration Joint Board.

### **Rules and Guidance**

6.3 You must not, in relation to contact with any person or organisation that lobbies do anything which contravenes this Code or any other relevant rule of South Lanarkshire Integration Joint Board or any statutory provision.

6.4 You must not, in relation to contact with any person or organisation who lobbies, act in any way which could bring discredit upon South Lanarkshire Integration Joint Board.

6.5 The public must be assured that no person or organisation will gain better access to or treatment by, you as a result of employing a company or individual to lobby on a fee basis on their behalf. You must not, therefore, offer or accord any preferential access or treatment to those lobbying on a fee basis on behalf of clients compared with that which you accord any other person or organisation who lobbies or approaches you. Nor should those lobbying on a fee basis on behalf of clients be given to understand that preferential access or treatment, compared to that accorded to any other person or organisation, might be forthcoming from another member of South Lanarkshire Integration Joint Board.

6.6 Before taking any action as a result of being lobbied, you should seek to satisfy yourself about the identity of the person or organisation that is lobbying and the motive for lobbying. You may choose to act in response to a person or organisation lobbying on a fee basis on behalf of clients but it is important that you know the basis on which you are being lobbied in order to ensure that any action taken in connection with the lobbyist complies with the standards set out in this Code.

6.7 You should not accept any paid work relating to health and social care:-

- (a) which would involve you lobbying on behalf of any person or organisation or any clients of a person or organisation.
- (b) to provide services as a strategist, adviser or consultant, for example, advising on how to influence the IJB and its members. This does not prohibit you from being remunerated for activity which may arise because of, or relate to, membership of the IJB, such as journalism or broadcasting, or involvement in

representative or presentational work, such as participation in delegations, conferences or other events.

Members of Integration Joint Boards are appointed because of the skills, knowledge and experience they possess. The onus will be on the individual member to consider their position under paragraph 6.7.

6.8 If you have concerns about the approach or methods used by any person or organisation in their contacts with you, you must seek the guidance of the chair of South Lanarkshire Integration Joint Board in the first instance.

## ANNEX A

### SANCTIONS AVAILABLE TO THE STANDARDS COMMISSION FOR BREACH OF THE CODE

- (a) Censure – the Commission may reprimand the member but otherwise take no action against them;
- (b) Suspension – of the member for a maximum period of one year from attending one or more, but not all, of the following:
  - i) all meetings of the public body;
  - ii) all meetings of one or more committees or sub-committees of the public body;
  - (iii) all meetings of any other public body on which that member is a representative or nominee of the public body of which they are a member.
- (c) Suspension – for a period not exceeding one year, of the member's entitlement to attend all of the meetings referred to in (b) above;
- (d) Disqualification – removing the member from membership of that public body for a period of no more than five years.

Where a member has been suspended, the Standards Commission may direct that any remuneration or allowance received from membership of that public body be reduced, or not paid.

Where the Standards Commission disqualifies a member of a public body, it may go on to impose the following further sanctions:

- (a) Where the member of a public body is also a councillor, the Standards Commission may disqualify that member (for a period of no more than five years) from being nominated for election as, or from being elected, a councillor. Disqualification of a councillor has the effect of disqualifying that member from their public body and terminating membership of any committee, sub-committee, joint committee, joint board or any other body on which that member sits as a representative of their local authority.
- (b) Direct that the member be removed from membership, and disqualified in respect of membership, of any other devolved public body (provided the members' code applicable to that body is then in force) and may disqualify that person from office as the Water Industry Commissioner.

In some cases the Standards Commission do not have the legislative powers to deal with sanctions, for example if the respondent is an executive member of the board or appointed by the Queen. Sections 23 and 24 of the Ethical Standards in Public Life etc. (Scotland) Act 2000 refer.

Full details of the sanctions are set out in Section 19 of the Act.

## ANNEX B

### DEFINITIONS AND EXPLANATORY NOTES

“**Chair**” includes Board Convener or any person discharging similar functions under alternative decision making structures.

“**Code**” code of conduct for members of devolved public bodies

“**Cohabitee**” includes a person, whether of the opposite sex or not, who is living with you in a relationship similar to that of husband and wife.

“**Group of companies**” has the same meaning as “group” in section 262(1) of the Companies Act 1985. A “group”, within s262 (1) of the Companies Act 1985, means a parent undertaking and its subsidiary undertakings.

“**Parent Undertaking**” is an undertaking in relation to another undertaking, a subsidiary undertaking, if a) it holds a majority of the rights in the undertaking; or b) it is a member of the undertaking and has the right to appoint or remove a majority of its board of directors; or c) it has the right to exercise a dominant influence over the undertaking (i) by virtue of provisions contained in the undertaking’s memorandum or articles or (ii) by virtue of a control contract; or d) it is a councillor of the undertaking and controls alone, pursuant to an agreement with other shareholders or councillors, a majority of the rights in the undertaking.

“**A person**” means a single individual or legal person and includes a group of companies.

“**Any person**” includes individuals, incorporated and unincorporated bodies, trade unions, charities and voluntary organisations.

“**Public body**” means a devolved public body listed in Schedule 3 of the Ethical Standards in Public Life etc. (Scotland) Act 2000, as amended.

“**Related Undertaking**” is a parent or subsidiary company of a principal undertaking of which you are also a director. You will receive remuneration for the principal undertaking though you will not receive remuneration as director of the related undertaking.

“**Remuneration**” includes any salary, wage, share of profits, fee, expenses, other monetary benefit or benefit in kind. This would include, for example, the provision of a company car or travelling expenses by an employer.

“**Spouse**” does not include a former spouse or a spouse who is living separately and apart from you.

“**Undertaking**” means:

- a) a body corporate or partnership; or
- b) an unincorporated association carrying on a trade or business, with or without a view to a profit.

Report to:	<b>South Lanarkshire Integration Joint Board</b>
Date of Meeting:	<b>28 June 2016</b>
Report by:	<b>Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership</b>

Subject:	<b>Scheme of Delegation</b>
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## 1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ seek approval for the Scheme of Delegation to Officers set out in Appendix 1 of this report

## 2. Recommendation(s)

2.1. The Board is asked to approve the following recommendation(s):-

- (1) that the Scheme of Delegation set out in Appendix 1 to the report, be approved.

## 3. Background

3.1. The Public Bodies (Joint Working) (Integration Joint Board Establishment) (Scotland) Amendment (No. 2) Order 2015 came into force on 21 September 2015 and established the South Lanarkshire Integration Joint Board.

3.2. The Scheme of Delegation provides authority to Officers to deliver functions or to take decisions on operational matters on behalf of the Integration Joint Board whilst reserving decisions and responsibility for strategic oversight to the Integration Joint Board.

3.3. The Scheme of Delegation as outlined in Appendix 1 outlines the specific powers delegated to the Chief Officer, the Chief Finance Officer and Chief Social Work Officer.

## 4. Employee Implications

4.1. None.

## 5. Financial Implications

5.1. None.

## 6. Other Implications

6.1. There are no risk or sustainability issues in terms of the information contained within this report.

## **7. Equality Impact Assessment and Consultation Arrangements**

- 7.1. This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and therefore no impact assessment is required.
- 7.2. There was also no requirement to undertake any consultation in terms of the information contained in this report.

**Harry Stevenson**

**Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership**

7 June 2016

### **Previous References**

- ◆ None

### **List of Background Papers**

- ◆ None

### **Contact for Further Information**

If you would like to inspect the background papers or want further information, please contact:-

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## Scheme of Delegation to Officers

Approved by South Lanarkshire Integration Joint Board on 28 June 2016

## **Contents**

Section 1 Introduction

Section 2 Core Principles

Section 3 General Delegation to Officers

Section 4 Chief Officer

Section 5 Chief Finance Officer

Annex 1 Chief Social Work Officer



## **Section 1 – Introduction**

- 1.1 This Scheme of Delegation (the Scheme) was approved by South Lanarkshire Integration Joint Board on 29 March 2016 in terms of the Public Bodies (Joint Working) (Scotland) Act 2014. The Scheme contains details of those functions both statutory and non-statutory which the Integration Joint Board (hereinafter referred to as ‘the Board’) has chosen to delegate to its officers.
- 1.2 This Scheme of Delegation needs to be read and used alongside the Integration Scheme, the Standing Orders relating to Meetings, the Financial Regulations, and Standing Orders relating to Contracts which together make up the wider framework of governance within the Integration Joint Board.
- 1.3 The Board’s Governance is based upon the principles of:-
  - ◆ Openness
  - ◆ Accountability
  - ◆ Responsiveness
  - ◆ Democracy

The Scheme of Delegation contributes to these fundamental principles by defining a route for certain decisions enabling the Board to be:-

- ◆ Speedy and responsive in taking decisions
- ◆ Efficient – by freeing the formal decision making structures of the Board to focus on other key decisions which have to be taken under full public scrutiny
- ◆ Accountable – by holding appropriate staff fully accountable for the decisions they take

## **Section 2 – Core Principles**

- 2.1 The Board has determined that all powers which are not specifically reserved to the Board, its committees, or sub-committees are delegated to officers. The matters reserved to the Board or committees are mainly the strategic policy or regulatory issues requiring to be decided by the Board, while the day to day operational matters of running the Board’s services are delegated to officers.

Every attempt has been made to list the specific powers which are available to officers. However if a specific power is not mentioned in this Scheme of Delegation, it does not necessarily mean that officers cannot exercise that power. Unless it has been specifically reserved to the Board, the power will still be delegated to officers. The powers reserved by the Board are detailed in this section.

### **Delegations to Officers**

The undernoted powers are delegated to Officers of the Board:-

- (i) The Chief Officer will have delegated responsibility for all matters in respect of the operation, development and implementation of policy unless specifically reserved to the Board or other Committees or contrary to the principles listed in 2.2 and 2.3 below, together with such Statutory Duties as may have been specifically and personally assigned to him/her.
- (ii) The Chief Officer will be responsible for the appointment of all posts below the level of Head of Service in accordance with the procedures agreed by the Council and NHS Lanarkshire.
- (iii) Such delegations are at all times to be exercised in accordance with the relevant law, the Integration Scheme and the Board Standing Orders relating to Contracts, Financial Regulations, Standing Orders relating to Meetings and any other relevant policies and procedures.
- (iv) Where clarification is required, the Chief Officer will determine which matters are operational or otherwise.
- (v) The Chief Officer is an employee of either the Council or the NHS and is bound by the employment policies and procedures of which organisation employs them. The Chief Officer will be seconded by the Employer to the Board.
- (vi) The Chief Officer will be the principal advisor to and officer of the Board and will provide overall strategic and operational advice to the Board.
- (vii) The Chief Officer is responsible for the operational management, delivery and performance of services delegated to the Board by Council and NHS, with the exception of Acute Services
- (viii) The Chief Officer will be line managed by the Chief Executives of the Council and NHS
- (ix) The Chief Officer will be a member of the senior management team of the Council and NHS

## **2.2 Powers Reserved to the Board**

### **General Issues**

Delegated powers should not be exercised by officers where any decision would represent a departure from Board policy or procedure, would represent a departure from the Strategic Plan or would be contrary to a standing instruction of the Board (or committee), or would itself represent a significant development of policy or procedure. The only exception to this is in the case of urgency where the officer may, after consultation with the relevant Chairperson of the Board, exercise delegated powers. Should such powers be exercised in urgent circumstances, a report will be submitted to the next appropriate meeting for noting.

### **Specific powers reserved for the Board**

- 2.2.1 The powers which are reserved to the Board or its committees are a mixture of those which must, in terms of statute, be reserved, and those which the Board has, itself, chosen to reserve. Powers which are not reserved are delegated, in accordance with the provisions of this Scheme
- 2.2.2 The following is a comprehensive list of what is reserved to the Board or committee, categorised as statutory and non statutory:-

#### **Reservations**

- (a) To change the name of the Board;
- (b) To receive any certified abstract of the Board's annual accounts;
- (c) Approval of any investment strategy and annual investment report;
- (d) The approval of the Scheme of Member's Allowances and the entitlement of Members to such allowances;
- (e) Any other functions or remit which is, in terms of statute or other legal requirement bound to be undertaken by the Board itself;
- (f) To establish such committees, sub-committees and joint committees as may be considered appropriate to conduct business and to appoint and remove Chairperson, Depute Chairperson and members of committees and outside bodies;
- (g) The approval annually of the Revenue Budget;
- (h) The approval annually of the Capital Plan;
- (i) The incurring of any net new expenditure not provided for in the estimate of capital or revenue expenditure unless, such expenditure is reported to and approved by the Board;
- (j) The approval or amendment of any Terms of Reference regulating the constitution, membership, functions and powers of Committees of the Board;
- (k) The approval or amendment of the Standing Orders regulating meetings proceedings and business of the Board and Committees and contracts;
- (l) The approval or amendment of the Scheme of Delegation detailing those functions delegated by the Board to its Officers;
- (m) The appointment and the dismissal of the Chief Officer or the S95 Financial Officer;
- (n) The decision to co-operate or combine with other Integration Joint Boards in the provision of services other than by way of collaborative agreement;
- (o) The approval or amendment of the Strategic Plan;
- (p) To fix and amend a programme of Board and committee meetings; and
- (q) To deal with matters reserved to the Board by Standing Orders, Financial Regulations and other Schemes approved by the Board

### **2.3 General Restrictions on Exercise of Delegated Powers by Officers**

- (a) If any decision proposed under delegated powers might lead to a budget being exceeded, the officer must consult with the Chair of the Board before exercising the delegated power.
- (b) (i) The Chief Officer must ensure that the Chair of the Board, is where appropriate consulted on matters of a controversial nature. Where appropriate, such matters should be referred to the Board or the appropriate Committee for decision

(b) (ii) In particular and without prejudice to the foregoing, the Chief Officer shall refer to the Board for decision any matter falling within the following categories:-

- ◆ Where determination of the issue may involve a decision contrary to local or national policy, the Strategic Plan or the determination may lead to a breach of a relevant Code of Guidance
- ◆ Where it is proposed that any issue be determined contrary to significant objections or the strong recommendation of Statutory Consultees
- ◆ The Officer proposes to determine the matter, or act in a manner, contrary to the recommendation of other officers whom he/she is obliged to, or has chosen to, consult with
- ◆ There are perceived public safety or significant public policy issues dependent on the determination (save in the case of urgency as aforesaid)
- ◆ Standing Orders, National or International regulation requires determination otherwise
- ◆ There are questions of legality or financial advisability/probity involved

#### **2.4 New Legislation and Updating of Powers**

The Scheme may be updated by the Chief Officer notifying the Chair of the Board in writing in advance of the specific power he or she wishes to exercise and if this is not in conflict with, or contradictory to any statutory provision, the Board's Integration Scheme, Standing Orders or Strategic Plan, effect may be given to such extension immediately and this Scheme will be amended accordingly

#### **2.5 Sub-Delegation**

South Lanarkshire Integration Joint Board hereby authorises any Officer with specific delegated powers, duties or responsibilities referred to within this scheme to delegate further any of these powers etc. to other appropriate Officers within their service. Any Officer using delegated powers will be fully accountable to the Board for his/her actions

#### **2.6 Interpretation**

In the scheme the following words shall have the meanings assigned to them, that is to say:-

- ◆ "Act" means the Local Government (Scotland) Act 1973;
- ◆ "1994 Act" means the Local Government etc (Scotland) Act 1994;
- ◆ "2014 Act" means the Public Bodies (Joint Working) (Scotland) Act 2014
- ◆ "Board" means South Lanarkshire Integration Joint Board
- ◆ "Council" means the South Lanarkshire Council;
- ◆ "Chief Officer" means the Chief Officer of the Integration Joint Board
- ◆ "Employer" means whichever of the Council or NHS shall employ a particular member of staff
- ◆ "Members" means members of the Board
- ◆ "NHS" means Lanarkshire Health Board
- ◆ 'Chief Finance Officer' means the Chief Financial Officer of the Board appointed by the Board in terms of section 95 of the 1973 Act

Any reference to any Act of Parliament shall be construed as a reference to the Act of Parliament as from time to time amended, extended or re-enacted and shall include any byelaws, statutory instruments, rules, regulations, orders, notices, directions, consent or permissions made thereunder. Any reference to any statutory

instrument, regulation or order shall be construed as a reference to that instrument, regulation or order (as the case may be) as from time to time amended, extended or re-enacted.

Subject to the foregoing provisions of this paragraph, the Interpretation Act 1978 shall apply to the interpretation of the scheme as it applies to the interpretation of an Act of Parliament.

## **2.7 Alteration of Scheme**

Subject to the provisions of the 2014 Act the Board shall be entitled to amend, vary or revoke the scheme from time to time.

The financial limits as set by the terms of this scheme shall be reviewed on 1st April each year

## **Section 3**

### **General Delegation to Officers**

The Chief Officer and the Chief Finance Officer will have the following powers delegated to them:-

- 3.1 All powers necessary for the general management of the departments or services for which they are responsible including, but not limited to, the power to:-
  - 3.1.1 Appoint staff in accordance with the policy and Standing Orders of the Employer;
  - 3.1.2 Approve appropriate expenses, if any, allowed in terms of employment policies
  - 3.1.3 Authorise special leave for staff in accordance with the provisions of the Employer's Scheme of Special Leave;
  - 3.1.4 In consultation with the Head of Human Resources of the Employer, grant leave of absence with salary to enable staff to undertake approved part-time courses;
  - 3.1.5 Authorise staff attendance at conferences/seminars and training courses for all staff;
  - 3.1.6 Authorise departmental expenditure up to limits permitted in the Standing Orders, on such items as have been allowed for in the appropriate capital and revenue budgets.
- 3.2 To authorise staff to undertake functions delegated to the Chief Officer as may be deemed appropriate and expedient, provided such staff are suitably qualified
- 3.3 To sign and issue the necessary authorisation to Officers of the Council or NHS to exercise statutory powers including where appropriate the rights to enter land and premises in connection with the discharge of their duties and any identity cards so required by the Council or NHS.
- 3.4 All such other powers as delegated by the Board, a Committee, a Sub-Committee, the Board's Standing Orders and Financial Regulations
- 3.5 To authorise and pay for the attendance of individual Members at specific conferences, seminars, etc not on the approved Standing List of Conferences.

- 3.6 To authorise and pay for the attendance of individual employees at training or conferences
- 3.7 To appoint or make recommendations as to the employment of consultants or specialists in accordance with any decision taken by the Board
- 3.8 To manage and monitor the performance of the services which are the responsibility of the Department
- 3.9 To assist in the preparation of the Board's Capital Programme.
- 3.10 To take such measures as may be required in emergency situations, subject to advising the Chair of the Board as soon as possible thereafter on any items for which Board approval would normally be necessary. This includes any Contract for the execution of works which are urgently required for the prevention of damage to life or property.
- 3.11 To enter into contracts for the supply of goods and materials, the execution of works and the provision of services where there is adequate provision in the estimates and the estimated expenditure is either less than £100,000 or let in terms of a framework agreement to which the Board, the Council or the NHS is a party.
- 3.12 In the case of emergency involving danger to life or property, to enter into contracts for the supply of goods and materials, the execution of works and the provision of services where the estimated expenditure is more than £100,000, subject to reporting the expenditure to the Board.
- 3.13 To sell surplus stores, plant, furniture and equipment, including any IT equipment, for the best price obtainable and write off any such stores, plant, furniture and equipment which have become unfit for use and are un-saleable, subject to any Standing Orders Relating to Contracts and any relevant policies of whichever of the Council or NHS owns the item.
- 3.14 To deal with, and in appropriate circumstances, to approve applications from employees for reimbursement of reasonable legal expenses, in part or in whole, incurred in defending any actions raised against them personally, providing:-
  - (i) They are acting within the course of their employment;
  - (ii) In accordance with the Employer's procedures;
  - (iii) In good faith.
- 3.15 To respond to consultation papers unless the response recommends a departure or significant development of Board policy or procedure or is contrary to a standing instruction of the Board
- 3.16 To amend the organisational structures of their Services including the number and designation of posts subject to the following conditions:-
  - (a) The Board Chair has been consulted;
  - (b) The costs of the amendments are within the existing revenue budget and this is confirmed by the Chief Finance Officer;

- (c) The Head of Human Resources and Organisational Development or representative of the Employer approves the grading, conditions of service and designation of posts.
- 3.17 In accordance with the Employer's approved Disciplinary and Incapability Procedures, take disciplinary action including dismissal, as appropriate in respect of employees in their relevant Service;
- 3.18 Action virement within the overall revenue budgets for their Services in accordance with the Financial Regulations and Codes of Financial Practice subject to confirmation by the Chief Finance Officer or representative;

## **Section 4**

### **Delegations to Officers - Chief Officer**

#### **4.1 General**

The Chief Officer will be the principal advisor to and officer of the Board and will provide overall strategic and operational advice to the Board.

4.2 The Chief Officer is responsible for the operational management and performance of services delegated to the Board by Council and NHS, with the exception of Acute Services and Accident and Emergency Services.

4.3 The Chief Officer is the Leader of the Board's Management Team and has overall responsibility for the following:-

- ◆ Strategic management of Board services
- ◆ Strategy and Policy Development
- ◆ Leading Improvement

4.4 The following general functions of the Board are delegated to the Chief Officer:-

- 1 To act as the principal policy adviser to the Board on matters of general policy and to assist Members to formulate clear objectives and affordable programmes having regard to changing priorities, statutory and financial requirements and community needs and expectations.
- 2 To ensure that a corporate approach to the management and execution of the Board's affairs is maintained and that advice to the Board is given on a co-ordinated basis
- 3 To monitor the performance of all staff line managed by the Chief Officer
- 4 To take such action as may be required to ensure that the correct significance is given by the Employer's staff to the achievement of the overall policy objectives of the Board.
- 5 To give direction on the applicability of this Scheme of Delegation to Officers and determine where appropriate that any Officer shall not exercise a delegated function;
- 6 To consider and deal with any urgent issues arising during a vacation period, subject to reporting back to the Board at the first available opportunity. This power is to be exercised in consultation with the Chair or Vice-Chair, if available, of the Board;
- 7 To maintain good internal and external public relations
- 8 To exercise functions relating to the identification, planning and mitigation of risks affecting the Board

- 9 To undertake Duties relating to business continuity, including identification of issues, business continuity planning, liaison with external bodies and putting in place arrangements to deal with business continuity issues.
- 10 To Support and provide assistance to Board services to enable them to comply with duties under the Health and Safety at Work Act 1974 and other legislation relating to health and safety.
- 11 To be the primary point of contact with the Health and Safety Executive in matters relating to the health and safety of Board premises or services.
- 12 All powers ancillary to or reasonably necessary for the proper performance of the Chief Officer's general duties and responsibilities

4.5 The post has overall responsibility for the following local authority services:-

- ◆ Social work services for adults and older people;
- ◆ Services and support for adults with physical disabilities, learning disabilities;
- ◆ Mental health services;
- ◆ Drug and alcohol services;
- ◆ Adult protection and domestic abuse
- ◆ Carers support services;
- ◆ Community care assessment teams;
- ◆ Support services;
- ◆ Care home services;
- ◆ Adult placement services;
- ◆ Health improvement services;
- ◆ Aspects of housing support, including Aids and adaptations;
- ◆ Day services;
- ◆ Local area co-ordination;
- ◆ Respite provision;
- ◆ Re-ablement services, equipment and telecare;

4.6 The Chief Officer is also responsible for and has been delegated the duty to manage and deliver to a defined standard the following services of NHS Lanarkshire listed in the Integration Scheme between South Lanarkshire Council and NHS Lanarkshire and approved by Scottish Ministers.

Hospital Services relating to adults and children within the scope of the Integration Joint Board from a strategic planning perspective including:-

- ◆ Accident and emergency services provided in a hospital;
- ◆ Inpatient hospital services relating to general medicine, geriatric medicine, rehabilitation medicine, respiratory medicine, and palliative care services provided in a hospital;
- ◆ Paediatrics;
- ◆ Psychiatry of learning disability;
- ◆ Inpatient hospital services provided by general medical practitioners;
- ◆ Services provided in a hospital in relation to addiction or dependence on any substance;
- ◆ Mental health services provided in a hospital except secure forensic mental health services

4.6.1 Functions in relation to the Community Health Service noted below delegated in respect of adults and children:-



- ◆ District nursing services;
- ◆ Health Visiting;
- ◆ Addiction Services;
- ◆ Allied health professionals in an outpatient department, clinic or outwith a hospital;
- ◆ Public dental services;
- ◆ Primary medical services;
- ◆ General dental services;
- ◆ Ophthalmic services;
- ◆ Pharmaceutical services;
- ◆ Primary care out-of-hours;
- ◆ Geriatric medicine;
- ◆ Palliative care;
- ◆ Community learning disability services;
- ◆ Mental health services;
- ◆ Continence services;
- ◆ Kidney dialysis services;
- ◆ Services provided by health professionals that aim to promote public health, and
- ◆ Community Paediatrics

4.6.2 The Chief Officer is responsible for the leadership and co-ordination, planning and policy and the strategic management of the following Council functions:-

<b>1. National Assistance Act 1948</b>	
Section 48 (The protection of property of a person admitted to hospital or accommodation provided under Part III of that Act.)	So far as it is exercisable in relation to another integration function
<b>2. The Disabled Persons (Employment) Act 1958</b>	
Section 3 (The making of arrangements for the provision of facilities for the purposes set out in section 15(1) of the Disabled Persons (Employment) Act 1944.) ( provision of sheltered employment by local authorities)	So far as it is exercisable in relation to another integration function.
<b>3. The Social Work (Scotland) Act 1968</b>	
Section 1 (The enforcement and execution of the provisions of the Social Work (Scotland) Act1968.)	So far as it is exercisable in relation to another integration function
Section 4 (The making of arrangements with voluntary organisations or other persons for assistance with the performance of certain functions.)	So far as it is exercisable in relation to another integration function
Section 8 (The conducting of, or assisting with research in connection with functions in relation to social welfare and the provision of financial assistance in connection with such research.)	So far as it is exercisable in relation to another integration function
Section 10 (The making of contributions by way of grant or loan to voluntary organisations whose sole or primary object is to promote social welfare and making available for use by a voluntary organisation premises, furniture, equipment, vehicles and the services of staff.)	So far as it is exercisable in relation to another integration function

Section 12 (The promotion of social welfare and the provision of advice and assistance) except in so far as it is exercisable in relation to the provision of housing support services	So far as it is exercisable in relation to another integration function
Section 12A(The assessment of needs for community care services, the making of decisions as to the provision of such services and the provision of emergency community care services.)	So far as it is exercisable in relation to another integration function
Section 12AZA (The taking of steps to identify persons who are able to assist a supported person with assessments under section 12A and to involve such persons in such assessments.)	So far as it is exercisable in relation to another integration function
Section 12AZA (The taking of steps to identify persons who are able to assist a supported person with assessments under section 12A and to involve such persons in such assessments.)	So far as it is exercisable in relation to another integration function
Section 12AA (The compliance with a request for an assessment of a carer's ability to provide or to continue to provide care.)	So far as it is exercisable in relation to another integration function
Section 12AB (The notification of carers as to their entitlement to make a request for an assessment under section 12AA.)	So far as it is exercisable in relation to another integration function
Section 13 (The assistance of persons in need with the disposal of their work.)	So far as it is exercisable in relation to another integration function
Section 13ZA (The taking of steps to help an incapable adult to benefit from community care services.)	So far as it is exercisable in relation to another integration function
Section 13A (The provision, or making arrangements for the provision, of residential accommodation with nursing.)	So far as it is exercisable in relation to another integration function
Section 13B (The making of arrangements for the care or aftercare of persons suffering from illness.)	So far as it is exercisable in relation to another integration function
Section 14 (The provision or arranging the provision of domiciliary services and laundry services.)	So far as it is exercisable in relation to another integration function
Section 28 (The burial or cremation of deceased persons who were in the care of the local authority immediately before their death and the recovery of the costs of such burial or cremation)	so far as it is exercisable in relation to persons cared for or assisted under another delegated function
Section 29 (Power of local authority to defray expenses of parent etc., visiting persons or attending funerals.)	So far as it is exercisable in relation to another integration function
Section 59 ( Provision of residential and other establishments by local authorities and maximum period for repayment of sums borrowed for such provision)	So far as it is exercisable in relation to another integration function.

Section 59 ( Provision of residential and other establishments by local authorities and maximum period for repayment of sums borrowed for such provision)	So far as it is exercisable in relation to another integration function
<b>4. The Local Government and Planning (Scotland) Act 1982</b>	
Section 24(1) (The provision, or making arrangements for the provision, of gardening assistance and the recovery of charges for such assistance).	
<b>5. Disabled Persons (Services, Consultation and Representation) Act 1986</b>	
Section 2 (The making of arrangements in relation to an authorised representative of a disabled person and the provision of information in respect of an authorised representative.)	
Section 3 (The provision of an opportunity for a disabled person or an authorised representative of a disabled person to make representations as to the needs of that person on any occasion where it falls to a local authority to assess the needs of the disabled person for the provision of statutory services by the authority, the provision of a statement specifying the needs of the person and any services which the authority proposes to provide, and related duties.)	
Section 7(The making of arrangements for the assessments of the needs of a person who is discharged from hospital.)	
Section 8 (Having regard, in deciding whether a disabled person's needs call for the provision of services, to the ability of a person providing unpaid care to the disabled person to continue to provide such care.)	In respect of the assessment of need for any services provided under functions contained in welfare enactments within the meaning of section 16 and which have been delegated. In respect of the assessment of need for any services provided under functions contained in welfare enactments within the meaning of section 16 which are integration functions
<b>6. The Adults with Incapacity (Scotland) Act 2000</b>	
Section 10 (The general functions of a local authority under the Adults with Incapacity (Scotland) Act 2000.)	( S37-45) Only in relation to residents of establishments which are managed under integration functions.
Section 12 (The taking of steps in consequence of an investigation carried out under section 10(1)(c) or (d).)	

Sections 37, ( residents whose affairs may be managed)	
Section 39 (matters which may be managed)	
Section 41 (Duties and functions of managers of authorised establishment)	
Section 42 (Authorisation of named Manager to withdraw from resident's account)	
Section 43 (Statement of resident's affairs)	
Section 44 ( resident ceasing to be resident of authorised establishment)	
Section 45 (Appeal, revocation etc) of the affairs, including the finances, of a resident of an establishment managed by a local authority.)	
<b>7. The Housing (Scotland) Act 2001</b>	
Section 92(assistance for housing purposes)	only in so far as it relates to an aid or adaptation
<b>8. The Community Care and Health (Scotland) Act 2002</b>	
Section 5 (The making of arrangements for the provision of residential accommodation outside Scotland.)	
Section 14 (The making of payments to an NHS body towards expenditure by the body on prescribed functions)	
<b>9. The Mental Health (Care and Treatment) (Scotland) Act 2003</b>	
Section 17 (The provision of facilities to enable the carrying out of the functions of the Mental Welfare Commission.)	
Section 25 (The provision of care and support services) except in so far as it is exercisable in relation to the provision of housing support services	
Section 26 (The provision of services designed to promote well-being and social development) except in so far as it is exercisable in relation to the provision of housing support services	
Section 27 (The provision of assistance with travel ) except in so far as it is exercisable in relation to the provision of housing support services	
Section 34 (The making of requests for co-operation with inquiries being made under section 33(1) of that Act.)	
Section 228 (The provision of information in response to requests for assessment of the needs of a person under section 12A(1)(a) of the Social Work(Scotland) Act 1968.)	
Section 259 (The securing of independent advocacy services for persons who have a mental disorder.)	

<b>10. The Housing (Scotland) Act 2006</b>	
Section 71(1)(b)(assistance for housing purposes) only in so far as it relates to an aid or adaptation	
<b>11. The Adult Support and Protection (Scotland) Act 2007</b>	
Section 4 (The making of enquiries about a person's wellbeing, property or financial affairs.)	
Section 5 (The co-operation with other councils, public bodies and office holders in relation to inquiries made under section 4.)	
Section 6 (The duty to have regard to the importance of providing advocacy services.)	
Section 11 (The making of an application for an assessment order.)	
Section 14 (The making of an application for a removal order.)	
Section 18 (The taking of steps to prevent loss or damage to property of a person moved in pursuance of a removal order.)	
Section 22 (The making of an application for a banning order.)	
Section 40 (The making of an application to the justice of the peace instead of the sheriff in urgent cases.)	
Section 42 (The establishment of an Adult Protection Committee.)	
Section 43 (The appointment of the convener and members of the Adult Protection Committee.)	
<b>12. Social Care (Self-directed Support) (Scotland) Act 2013</b>	
Section 3 (The consideration of an assessment of an adults ability to provide or continue to provide care for another person and the making of a decision as to whether an adult has needs in relation to care that the adult provides for another person, the decision as to whether support should be provided to that adult in relation to those needs, and the provision of that support.)	Only in relation to assessments carried out under integration functions.
Section 5 (The giving of the opportunity to choose a self-directed support option.)	
Section 6 (The taking of steps to enable a person to make a choice of self-directed support option.)	
Section 7 (The giving of the opportunity to choose a self-directed support option.)	
Section 9 (The provision of information.)	
Section 11 (Giving effect to the choice of self-directed support option.)	
Section 12 (Review of the question of whether a person is ineligible to receive direct payments.)	
Section 13 (Offering another opportunity to choose a self-directed support option.)	

Section 16 (The recovery of sums where a direct payment has been made to a person and the circumstances set out in section 16(1)(b) apply.)	
Section 19 (Promotion of the options for self-directed support.)	
<b>13. Miscellaneous</b>	
Exercise the foregoing functions of the Council in terms of the following legislation in so far as it relates to the services:- <ul style="list-style-type: none"> <li>◆ Local Government (Scotland) Act 1973</li> <li>◆ Local Government (Scotland) etc Act 1994</li> <li>◆ Local Government in Scotland 2003</li> <li>◆ Regulation of Care (Scotland) Act 2001</li> <li>◆ Equality Act 2010</li> <li>◆ Human Rights Act 1998</li> <li>◆ Mental Health (Care and Treatment) (Scotland) Act 2003</li> <li>◆ Adults with Incapacity (Scotland) Act 2000</li> </ul>	
<b>14. Support the Chief Social Work Officer in the discharge of his or her specific functions.</b>	
See Annex 1 for details of the remit of the Chief Social Work Officer	

## Section 5

### Chief Finance Officer

5.1 The Chief Finance Officer has overall responsibility for the following services:-

- ◆ **Finance** including Audit; Financial Management; and any Procurement by the Health and Social Care Partnership

5.2 The Chief Finance Officer is responsible for the leadership and co-ordination, planning and policy and the strategic management of the following services and without prejudice to the foregoing generality, such powers include the power to:-

#### Finance

1. Act as the Proper Officer responsible for the administration of the financial affairs of the Board in terms of section 95 of the Local Government (Scotland) Act 1973
2. To prepare Financial Regulations and relevant Codes of Practice of the Board for the control of all expenditure and income
3. The monitoring of the Board's capital and revenue budgets during the course of each financial year and reporting thereon to the Board
4. Determine all accounting procedures and financial record keeping of the Board
5. Authorise disposal or write-off of surplus materials, stores, or equipment where the value does not exceed £1000
6. Write off debts of up to £1000 if satisfied that they cannot reasonably be recovered
7. Subject to the approval of the Chief Officer and in conformity with any Financial Regulations and any approved policy, authorise the transfer of approved estimates from one head of expenditure to another, within a Service estimate, unless it is considered to materially affect the approved budget, in which case authorisation of the Board will be sought

8. To arrange the necessary insurances to protect the interests of the Board and make arrangements with insurance companies concerning claims handling and settlement of claims.
9. To have financial oversight of any procurement entered into directly by the Health and Social Care Partnership or the Chief Officer (but not procurement carried out on behalf of the Partnership or Chief Officer by a Council or Health Board) including if appropriate entering into framework agreements, central purchasing arrangements, maintenance of a standing list of approved contractors, preparation of advice and policies relating to procurement.

#### **Audit**

10. On the production of identification:-
  - ◆ Enter, at all reasonable times, on any Council and Health Board premises or land
  - ◆ Have access to all records, documents and correspondence relating to any financial transaction and such other documents as may be considered to be necessary in verification thereof
  - ◆ Require and receive such explanations as are necessary concerning any matter under examination
11. To undertake internal audit of Board, Council or Health Board systems, procedures and practices and to investigate complaints or issues raised with Internal Audit, including whistle blowing complaints. To provide policies, procedures and guidance relating to audit, whistleblowing and defalcation.
12. To be the primary point of contact with external audit and provide support, information and recommendations to external auditors

### **Chief Social Work Officer**

The Chief Social Work Officer is a statutory appointment by virtue of section 3 of the Social Work (Scotland) Act 1968. The Council has resolved that the Head of Children, Families and Criminal Justice is the Chief Social Work Officer.

The Chief Social Work Officer is appointed for the purposes of the Council's functions under the 1968 Act and under those other enactments listed in Section 5(1B) of that Act. In broad terms, those functions cover all social work and social care services whether provided directly by the council, in partnership with other agencies, or procured by the council and provided by others on its behalf. Those functions are referred to in this document as "social work services".

The qualifications required for the post are set out in the Qualifications of Chief Social Work Officers (Scotland) Regulations 1996 (S.I. 1996/515 (1996/49)), as shown in Appendix 2.

The Chief Social Work Officer is required by section 5(1) of the 1968 Act to carry out the duties of the post under the general guidance of the Scottish Ministers. The Scottish Ministers issued revised and finalised guidance in January 2010.

( <http://scotland.gov.uk/Resource/Doc/300422/0093741.pdf> ).

### **Delegated to the Post**

The overall powers of the Chief Social Work Officer post are:-

- (a) To oversee the discharge of the council's statutory social work duties;
- (b) To ensure the provision of effective professional and objective advice to elected members and officers of the Council in the Council's provision of social work services;
- (c) To secure the effective provision of social work services.

The powers of the Chief Social Work Officer fall into two broad categories; service provision and corporate responsibility:-

#### **1. Service Provision**

- ◆ To establish and develop social work services focussed on the needs of service users, to promote the continuous improvement of those services, and to monitor and raise standards of their delivery
- ◆ To ensure the effective governance of the balance of need, risk and civil liberties in the provision of social work services in accordance with professional practice
- ◆ To provide advice on all aspects of workforce planning including safe recruitment practice, supervision, monitoring and assessment of social work students, securing of professional qualifications and continuous learning and development for staff, and supporting and advising managers in all aspects of staff supervision



- ◆ To ensure the existence of systems to both promote good practice and identify and address poor practice in the provision of social work services
- ◆ To ensure that significant case reviews are undertaken of all critical incidents either resulting in, or which may have resulted in, serious harm or death

## 2. **Corporate Responsibilities**

The Chief Social Work Officer has the following corporate powers which require direct access to the Council's Chief Executive', Elected Members of the Council and the Chief Officer, and the provision of forthright and independent advice to them:-

- ◆ To ensure compliance with the Council's statutory duties to prepare, publish and review plans for the provision of social work services
- ◆ To promote, communicate, support and review values and standards of professional practice, and to ensure that they are adhered to
- ◆ To establish, in conjunction with the Council's Corporate Management Team, appropriate experience and qualified cover for the post of Chief Social Work Officer during the post-holder's absence or incapacity
- ◆ To report to the Chief Executive and Chief Officer any failure in the Council's corporate policy or governance arrangements designed to reflect the proper balance amongst need, risk and civil liberties in the provision and management of social work services
- ◆ To report to the Chief Executive and Chief Officer any weaknesses and failures in the systems in place to promote good practice and identify and address poor practice in the provision of social work services
- ◆ To report and provide independent comment where necessary to the Chief Executive, Elected Members of the Council and the Chief Officer on the findings of significant case reviews and relevant performance reports and on any other social work related issues
- ◆ To provide an annual report to the Council on all of the statutory, governance and leadership functions of the role of the Chief Social Work Officer



Report to:	<b>South Lanarkshire Integration Joint Board</b>
Date of Meeting:	<b>28 June 2016</b>
Report by:	<b>Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership</b>

Subject:	<b>Multi-Agency Inspection of Older People's Services</b>
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## 1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ present to the Integrated Joint Board (IJB) the outcome of the Older People's Inspection which was undertaken by the Care Inspectorate and Healthcare Improvement Scotland in the latter part of 2015.

## 2. Recommendation(s)

2.1. The Integrated Joint Board is asked to approve the following recommendation(s):-

- (1) that the content of the report and the evaluation of the Partnership with regard to Older People's Services be noted.

## 3. Background

- 3.1. In June 2015 the South Lanarkshire Partnership was notified by the Care Inspectorate that full Multi-Agency Inspection of Older People's Services would take place in the second half of the year, with specific three week on-site activity being in the months of September, October and November 2015.
- 3.2. This Inspection formed part of the national programme of Older People's Inspections, with South Lanarkshire being the tenth Partnership to be inspected, with the remaining Partnerships following at some point in the future.
- 3.3. The evaluation process for the Inspection involved the Care Inspectorate assessing the Partnership against 10 high level themes, underpinned by 27 quality indicators as detailed in Appendix 1. However, as section 4 indicates, evaluation grades were only assigned to the 10 high level themes.
- 3.4. The Inspection itself comprised of a team of 12-14 inspectors, with the lead inspector being Stephen Rankin. The process of the Inspection can essentially be summarised in the following five phases:
  - ◆ Phase 1 (June to September) – submission of pre-inspection materials including South Lanarkshire self-evaluation, position statements and supporting electronic evidence documentation. This phase also included a staff survey which was sent to approximately 6,000 staff with a return rate of 21% or 1,266 staff;
  - ◆ Phase 2 (w/c 28 September) – case file reading week which involved reading the health and social care files of 105 service users;
  - ◆ Phase 3 (w/c 19 October) – follow-up week whereby 25 cases from the sample of 105 were reviewed in more detail with visits to service users, carers and focus

group activity with staff and support organisations such as carers groups and advocacy groups;

- ◆ Phase 4 (w/c 02 November) – referred to as scrutiny week and involved a range of one to one interviews with key staff, senior managers, elected members and Non-Executive Directors in relation to the commissioning, planning, delivery and performance of services; and
- ◆ Phase 5 (December 2015 to April 2016) – although the formal on-site activity had finished, this stage involved verbal feedback on the Care Inspectorate’s evaluation followed by a written draft report and the subsequent conclusion of this to a final report. The Partnership provided a detailed response to the draft and this helped to shape the final report.

#### 4. The Partnership Evaluation

4.1. The methodology for evaluating Partnership’s against the quality indicator is through the assignment of one of the following six evaluation criteria:

- ◆ excellent – outstanding, sector leading;
- ◆ very good – major strengths;
- ◆ good – important strengths with some areas for improvement;
- ◆ adequate – strengths just outweigh weaknesses;
- ◆ weak – important weaknesses; and
- ◆ unsatisfactory – major weaknesses.

4.2. On the basis of all of the above activity, the Care Inspectorate assigned the following grades to the Partnership:

Quality Indicator	Heading	Evaluation
1.	Key performance outcomes	adequate
2.	Getting help at the right time	adequate
3.	Impact on staff	adequate
4.	Impact on the community	good
5.	Delivery of key processes	good
6.	Policy development and plans to support improvement in the service	adequate
7.	Management and support of staff	good
8..	Partnership working	adequate
9.	Leadership and direction	adequate
10.	Capacity for improvement	not evaluated

4.3. In addition to the above grades, the Care Inspectorate also provide a list of recommendations through which the Partnership is expected to take forward and action. From this particular inspection, a total of nine recommendations were assigned to the South Lanarkshire Partnership as follows:

Number	Recommendations for Improvement
1.	The Partnership should continue to develop joint approaches that help deliver on the Scottish Government delayed discharge targets to make sure older people return to their own home or a homely setting in which their needs are better met.
2.	The Partnership should prepare and implement a joint coherent approach to intermediate care home beds to help prevent hospital admission and support hospital discharge concentrating its efforts on those areas without ready access to a community hospital.

Number	Recommendations for Improvement
3.	The Partnership should work further with the services supporting carers to improve how information about carers' needs are identified, assessed and shared so that carers have better access to services for themselves and those they care for.
4.	The Partnership should put further measures in place to ensure that post diagnostic support should be available to those with dementia and their carers where required.
5.	The Partnership should put in place further measures that increase the choice, availability and uptake of Self-Directed Support (SDS) for older people and their carers.
6.	The Partnership should improve its approaches to the allocation of referrals and assessment of cases to make sure that they are completed within agreed timescales so that this assists service users to receive services in a timely manner.
7.	The Partnership should ensure that all relevant case records contain accurate chronologies and, where appropriate, have written risk assessment and risk management plans in place so that people's care needs are better assessed and planned for.
8.	<p>The Partnership should make sure that the future joint strategic commissioning plan gives detail on:</p> <ul style="list-style-type: none"> <li>◆ how priorities are to be taken forward and resourced;</li> <li>◆ how joint organisational development planning to support this is to be taken forward;</li> <li>◆ how consultation, engagement and involvement are to be maintained;</li> <li>◆ full and detailed costed action plans including plans for investment and disinvestment based on identified future needs, and expected outcomes.</li> </ul>
9.	<p>The Partnership should refresh its consultation and engagement approach with a range of stakeholders to better communicate on:</p> <ul style="list-style-type: none"> <li>◆ its vision and objectives;</li> <li>◆ service redesign;</li> <li>◆ change management, and</li> <li>◆ working with the third and independent sectors.</li> </ul>

- 4.4. Overall the South Lanarkshire Partnership Inspection report is broadly comparable with other Partnerships across Scotland who have already been inspected. Appendix 2 gives an overview of the Partnerships inspected to date with their subsequent evaluations/grades. It is worth noting that the South Lanarkshire Partnership performed better than other Partnerships in the areas of key processes, impact on the community, policy development and management and support of staff.
- 4.5. From the perspective of the Partnership, the outcome of the inspection broadly followed the self evaluation undertaken by the Partnership in advance of the inspection. This provided reassurance that the overall outcome of the inspection was a fair and balanced report and that there were no major surprises in the final evaluations.

## **5. Next Steps**

- 5.1. The final publication date for the Inspection report will be in early June, 2016. From the date of publication, the Partnership has six weeks upon which to submit and agree the Improvement Plan with the Care Inspectorate based upon the nine improvement recommendations outlined in 4.3.
- 5.2. In undertaking this role, the South Lanarkshire Partnership will be supported by Stephen Rankin from the Care Inspectorate, which from a consistency viewpoint is a positive decision in light of Stephen Rankin being the Lead Inspector for this particular inspection.
- 5.3. There will in addition to the improvement activity, be further communication with the workforce and key stakeholders regarding the inspection outcome and next steps.

## **6. Employee Implications**

- 6.1. There are no employee implications associated with this report.

## **7. Financial Implications**

- 7.1. There are no financial implications associated with this report.

## **8. Other Implications**

- 8.1. There are no additional risks associated with this report.
- 8.2. There are no sustainable development issues associated with this report.
- 8.3. There are no other issues associated with this report.

## **9. Equality Impact Assessment and Consultation Arrangements**

- 9.1. An Equality Impact Assessment is not required as this does not introduce a new policy or strategy.
- 9.2. Customer and community consultation has been intrinsic to the development of this draft SCP as outlined in the above sections.

**Harry Stevenson**

**Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership**

Date created: 27 May 2016

## **Previous References**

- ◆ Minutes of 1 December 2015, paragraph 9

## **List of Background Papers**

- ◆ none

## **Contact for Further Information**

If you would like to inspect the background papers or want further information, please contact:-

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Report to:	<b>South Lanarkshire Integration Joint Board</b>
Date of Meeting:	<b>28 June 2016</b>
Report by:	<b>Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership</b>

Subject:	<b>Chief Social Work Officer Report</b>
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## 1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ outline the content of the Chief Social Work Officer's Report 2015/2016 to the Integrated Joint Board (IJB); and
- ◆ ask the Board to note the content of the report.

## 2. Recommendation(s)

2.1. The Integrated Joint Board is asked to approve the following recommendation(s):-

- (1) that the Chief Social Work Officer's Report 2015/2016 be noted.

## 3. Background

3.1. There is a statutory requirement for all local authorities to appoint a professionally qualified Chief Social Work Officer (CSWO). He/she must be registered with the Scottish Social Services Council (SSSC). The role of the CSWO is to provide professional advice and guidance to local authorities, elected members and officers in the provision of social work services, whether commissioned or directly provided. The CSWO has a responsibility for overall performance improvement and the identification and management of corporate risk insofar as these relate to social work services.

3.2. The Chief Social Work Advisor for Scotland recently made a request for the CSWOs' reports to adopt a standardised reporting timeframe and a standardised framework to ensure that key issues are highlighted and to better enable the sharing of information and learning on a national basis. South Lanarkshire Council Social Work Resources has adopted the standardised reporting and this IJB report outlines the key areas contained within the CSWO annual report for 2015/2016.

## 4. CSWO Report

4.1. The CSWO report is split into sections, which are briefly outlined below. It covers 18 pages in total.

### 4.2. Background and Introduction

4.2.1. These first two sections introduce the purpose of the report and contextualises the role of the CSWO.

### 4.3. **Local Authority Overview**

4.3.1. Here, the report introduces South Lanarkshire Council as one of the most diverse local authorities in Scotland outlining how there are four locality planning areas. The local authority area covers 180,000 hectares and has a population of 316,378.

### 4.4. **Partnership Structures/Governance Arrangements**

4.4.1. Highlighted here is the role and responsibilities of the CSWO, which also outlines reporting arrangements and partnership structures. Responsibilities are outlined in relation to children's services, public protection, and community planning and in relation to the corporate responsibilities to the Council. Now included in these sections are the CSWO's responsibilities through the integration of health and social care.

### 4.5. **Social Services Landscape/Market**

4.5.1. Within this section, the macro environment is outlined illustrating some of the challenges that require strategic and operational responses such as the projected rise in the older people's population within South Lanarkshire, the impact of the economic downturn and the health of South Lanarkshire's residents (being below the Scottish average as a whole). Against this backdrop, the demand for social care services continues to be high.

### 4.6. **Finance**

4.6.1. The total revenue budget for the delivery of social care services within South Lanarkshire Council for 2015/2016 is outlined in this section. The budget of £140.5m was split between:

- ◆ Adult and Older People                      £103.6m;
- ◆ Children and Justice                              £25.4m; and
- ◆ Performance and Support                      £11.5m.

4.7. The section outlines some of the financial pressures that Social Work Resources has had to manage over 2015/2016 and contained within this section are the resources' risks as highlighted in the Resources Risk Register. A range of service developments are also referenced, which illustrate continued investment in services.

### 4.8. **Service Quality and Performance**

4.8.1. Service performance and monitoring are intrinsic to the CSWO's role. This section highlights the range of performance measures that the CSWO has responsibility for such as taking forward recommendations from inspection reports, care inspectorate evaluations, quarterly reporting through the Council's IMPROVe system and case file audit activity.

### 4.9. **Statutory Functions**

4.9.1. The CSWO is active in overseeing the quality of services and is responsible for ensuring that staff are appropriately supported to carry out their professional duties. This section of the report highlights the CSWO's responsibilities in relation to statutory functions. This incorporates risk management, the analysis of management information in relation to Guardianship Orders, ensuring that effective governance arrangements are in place for the management of adult support and protection and child protection and so on.



#### **4.10. Continuous Improvement**

4.10.1. This section outlines areas of responsibility such as presenting and discussing mental welfare reports, meeting with the link inspector, self-evaluation exercises carried out within the Resource and service-user and carer participation and involvement.

#### **4.11. Planning for Change**

4.11.1. The CSWO has a significant role in planning and leading change. A good example of this is in relation to leading whole systems change such as through the implementation of self-directed support. Another area of change referenced in this section is in the re-design of the fostering and adoption service.

#### **4.12. User and Carer Involvement**

4.12.1. This is a key area of responsibility. The report highlights the Resources 'exemplary' participation and involvement strategy built upon the principles of citizen leadership. A range of methods used to aid meaningful participation and involvement are outlined in this section.

#### **4.13. Leadership**

4.13.1. The CSWO has a key role in relation to leadership, which incorporates workforce planning and development. This section of the report highlights, amongst other things, how the CSWO will support possible successors to the role through the new CSWO award as well as outlining the contribution the CSWO has made to the integration of health and social care.

#### **4.14. Key Challenges for the Year Ahead**

4.14.1. The report concludes with this section and lists several key challenges and opportunities for 2016/2017. These include taking forward the model for health and social care integration, taking forward the joint strategic commissioning plan, continuing to implement new legislative duties imposed on the local authority and the re-design of justice and reception services.

### **5. Employee Implications**

5.1. There are no employee implications associated with this report.

### **6. Financial Implications**

6.1. There are no financial implications associated with this report.

### **7. Other Implications**

7.1. There are no additional risks associated with this report.

7.2. There are no sustainable development issues associated with this report.

7.3. There are no other issues associated with this report.

### **8. Equality Impact Assessment and Consultation Arrangements**

8.1. The report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy and, therefore, no impact assessment is required.

8.2. Consultation with carers and service-users is referenced in the report and the Chief Social Work Officer has recently held briefing sessions for employees within the localities throughout South Lanarkshire.

**Harry Stevenson**  
**Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership**

Date created: 26 May 2016

**Previous References**

- ◆ none

**List of Background Papers**

- ◆ Chief Social Work Officer's Report 2015/2016

**Contact for Further Information**

If you would like to inspect the background papers or want further information, please contact:-

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## Annual Report

### Chief Social Work Officer Report South Lanarkshire Council

2015/2016

## Content:

Section	Description
	Background
1	Introduction
2	Local Authority Overview
3	Partnership Structures/Governance Arrangements
4	Social Services Landscape/Market
5	Finance
6	Service Quality and Performance
7	Statutory functions
8	Continuous Improvement
9	Planning for Change
10	User and Carer Empowerment
11	Leadership
12	Challenges for the year ahead

## Background

There is a statutory requirement for all Local Authorities to appoint a professionally qualified Chief Social Work Officer (CSWO). He/she must be registered with the Scottish Social Services Council (SSSC). The role of the CSWO is to provide professional advice and guidance to Local Authorities, elected Members and Officers in the provision of Social Work services, whether commissioned or directly provided. The CSWO has a responsibility for overall performance improvement and the identification and management of corporate risk insofar as these relate to Social Work services.

The Chief Social Work Advisor for Scotland recently made a request for the CSWOs' reports to adopt a standardised reporting timeframe and a standardised framework to ensure that key issues are highlighted and to better enable learning and the sharing of information nationally. This is the annual Chief Social Work Officer's Report for South Lanarkshire for 2015/16. It contextualises the CSWO's role and responsibilities underpinned by the work of Social Work Resources at South Lanarkshire Council.

## 1 Introduction

Welcome to the annual Chief Social Work Officer Report for 2015/2016. I am grateful to my predecessor, Harry Stevenson, for completing the previous year's report. I have assumed the role of CSWO since July 2015 and this is my first report.

The aim of Social Work Resources is to promote social welfare and provide effective care and support to meet the needs of vulnerable people in South Lanarkshire. We are committed to providing responsive and accessible services, with defined standards for service provision and supporting people to maximise their potential, maintain their independence and improve outcomes.

Social Work Resources in partnership with community planning partners and voluntary and independent provider organisations, offers a range of services designed to enable, support, improve and protect the health and social care of people using our services. Social Work Resources activities include:

- dealing with over 40,000 referrals a year
- assessment, specialist assessment and support
- provision of targeted services for vulnerable children, young people and adults
- service provision including homecare and care at home
- support services, day, respite and residential services
- supervision and monitoring in the protection of vulnerable children and adults
- working with those subject to requirements within justice and mental health legislation

Social Work has been operating in an environment of change and innovation. In 2015-16, the environment that social care services are delivered within, will be subject to further and significant organisational change, particularly with regard to a reducing public sector funding envelope, the integration of health and social care, the ongoing implementation of the 10 year Self-directed Support Strategy, the redesign of Criminal Justice Services, the further implementation of the Children and Young People Act and the commencement of a new Carers Bill.

The Public Bodies (Joint Working) (Scotland) Act 2014 requires local health and social care services to integrate; the partners are well into their integration journey. The Integration Scheme which was a legally binding document to establish an Integration Joint Board (IJB) was passed in September 2015. The IJB is now a formal entity within the public sector and the key areas of work which will be led by the IJB relate to:

- the approval and implementation of the strategic commissioning plan, in order that the functions / services can be delegated
- the establishment of locality planning
- the finalisation of governance and accountability arrangements, and
- the production of an annual performance report, which the IJB requires to sign off

Another significant area of activity, which has strong links with the personal outcomes agenda, is Self-directed Support. Self-directed Support is underpinned by a ten year strategy and whilst there remains a lot to do, Social Work Resources has continued to make good progress in relation to this agenda, which has been multi-faceted (incorporating changes in the assessment process and associated IT developments, staff training, procurement etc). Throughout 2015-16 further developments will be taken forward such as implementing the Outcomes Support Plan and the Adult Carers Support Plan; the latter is introduced through the new Carers (Scotland) Act 2016.

Justice Services are currently being remodelled as a result of the response to a consultation on redesigning the service published by the Scottish Government in December 2013. The final design of the future model for Community Justice in Scotland has significant strategic implications for South Lanarkshire Council to reduce reoffending. It requires commitment from all key partners, including the Scottish Government's non-departmental public bodies and it may set a precedent for the future design of strategic planning of services. Responsibility will transfer for the planning and delivery of Community Justice Services from the Lanarkshire Community Justice Authority to the Community Planning Partnership.

Children's Services have been preparing for the implementation of the Children and Young People (Scotland) Act 2014. The Act consists of 18 parts, with specific parts being phased in at differing timeframes. Consultation and supporting guidance on specific parts has been issued in respect of: Named Person; Child's Plan; Corporate Parenting; Aftercare; and Continuing Care. The Act ensures that children's rights are influencing the design and delivery of policies and services. The Act improves the way services support children and families by promoting co-operation between services, with the child at the centre. Better permanence planning for looked after children will be ensured by improving support for kinship carers, families and care leavers and extending the role of corporate parenting across the public sector. Continuing Care and Aftercare Services are being developed to support young people up to their 26th birthday. Getting it Right for Every Child approach (GIRFEC) and the wellbeing indicators of: Safe, Healthy, Achieving, Nurtured, Active, Respected, Responsible, Included are defined within the legislation.

The Joint Inspection of Children's Services (JICS), our first, concluded with the published report in February 2015, our action plan has been developed and we continue to build on improvement in key areas of service delivery.

The Joint Inspection of Older People's Service took place over July 2015/October 2015, the formal report has not been published yet, however partners will take forward any improvement areas identified.

The Care Inspectorate continue to regulate and inspect our 47 registered care services which include: 8 care homes for older people; 16 day centres for older people; 6 care homes for children and young people; 3 child and family services (Fostering, Adoption, Supported Carers); 6 Adult Lifestyles Centres; 3 Adult Community Support Services, 5 Home Care/Shared Care Services.

Scottish Government has introduced new rights for carers. The Carers (Scotland) Act 2016 has now been passed and this will introduce new rights for adult carers and young carers. The Carers (Scotland) Act is underpinned by a rights based, preventative approach, which mirrors the current Carers Strategy for Scotland. We have a long established partnership with carers and carers' organisations in South Lanarkshire and will continue to work with them as we prepare to implement the new Act.

As always, the ongoing development of social work services and our achievements rely on the continued commitment of our staff and partners. I would like to thank everyone for their efforts during 2015-16 and I look forward to working together during the year ahead.

## 2 Local Authority Overview

South Lanarkshire Council is one of the most diverse local authorities in Scotland, covering a geographical area of 180,000 hectares and a population of 316,378. Overall, this makes South Lanarkshire the fifth largest local authority in Scotland.

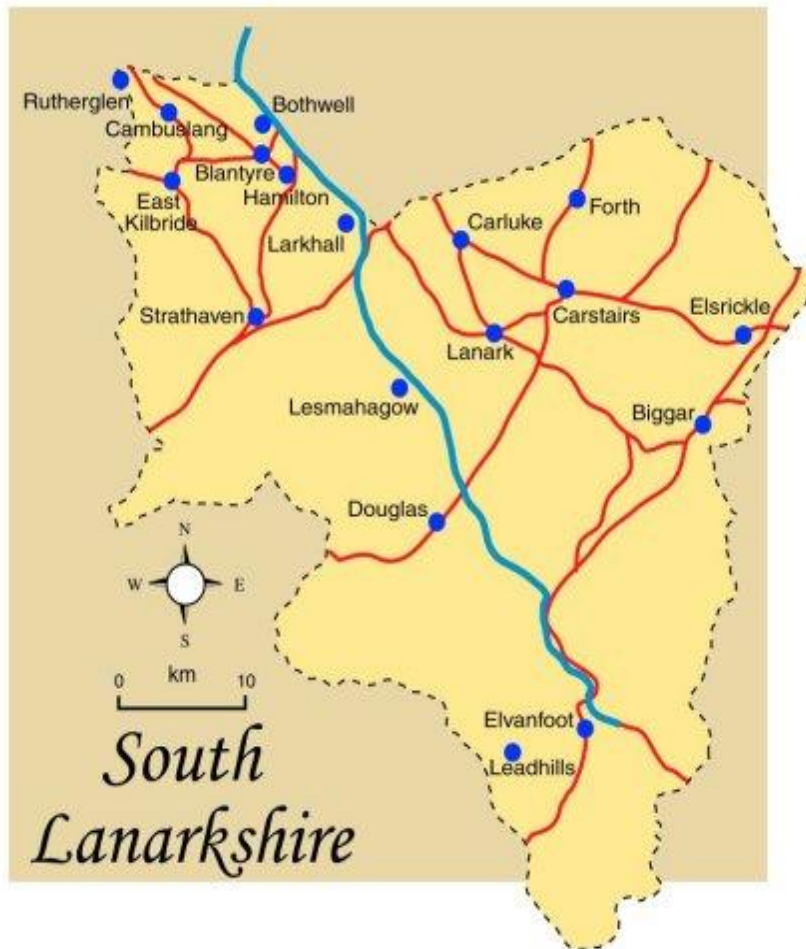
From a population perspective, 21.8% are aged 19 and under, 37.5% are aged 20-49, 21.7% are aged 50-64, 14.0% are aged 65-79 and 4.9% are aged 80+. There are four towns in South Lanarkshire with a population in excess of over 20,000 (East Kilbride, Hamilton, Rutherglen and Cambuslang) and a further 23 towns and settlements with a population over 1,000. Social Work Resources works with people of all ages in all areas in South Lanarkshire. These four towns form the basis of the four locality planning areas that support our Children and Families Partnership agenda and these are as follows:

- Hamilton, Blantyre and Larkhall;
- East Kilbride and Strathaven;
- Clydesdale; and
- Rutherglen and Cambuslang.

Social Work in South Lanarkshire has a number of challenges, which require strategic and operational responses. Many of these challenges arise from the socio-economic 'make-up' of the local authority area. The following information describes some of these challenges:

- the population of South Lanarkshire is projected to rise by 14,611 by 2021, with the most significant increase being in the older people population, which for the 65+ age group will rise by over 2% per annum and a 1.5% for the 85+ age group. Putting this in context in 2011 there were 12,700 people who were 85+ and in 2021 there will be 18,258;
- South Lanarkshire has a significant deprivation issue, with the most recent Scottish Multiple Deprivation Index (SIMD) showing that 58 areas in South Lanarkshire are in the 15% most deprived areas in Scotland;
- South Lanarkshire also has the fifth largest number of income deprived people and for this reason tackling disadvantage and deprivation is one of the Council's priority objectives in the Council Plan;

- South Lanarkshire accounts for 4.3% of the wealth generated in Scotland, which is around 78% of what might be expected for the area's population. However, the economic downturn, which has been experienced nationally highlighted that the South Lanarkshire economy has suffered with the value of goods and service declining. The latest figures though highlight a drop in business failures, an increase in the number of enterprises, falling claimant unemployment (now down to pre-recession levels) and a record high proportion of school leavers into positive destinations



- the health of the people of South Lanarkshire is not as good as the average for Scotland as a whole. South Lanarkshire residents have lower life expectancy and they do not enjoy as many years of good health. This is particularly evident within communities identified as economically, socially and environmentally deprived. In the most deprived areas, poor health is a significant problem with one in four of all people saying they have a long-term health condition. Death rates for some conditions such as cancer and strokes are below the Scottish average, but for others including heart disease, they are above the national average;



#### The Chief Social Work Officer

The Chief Social Work Officer (CSWO) for South Lanarkshire Council also holds the position of the Head of Children and Justice Services. The CSWO is a member of the Healthcare Management Team (HCMT) and also attends the Integrated Joint Board (IJB) meeting. The IJB was established as a result of health and social care integration, which came into effect on 1 April 2016.

The CSWO provides professional advice directly to the Chief Executive of South Lanarkshire Council on matters relating to the profession and statutory service delivery. This professional advice and guidance also extends to local elected members, officers within other Resources of the Council and also to senior staff within partner agencies.

Within the Council structure, there is currently an Executive Director of Social Work Resources who has the additional role of the Chief Officer of the Health and Social Care Partnership (HSCP). In circumstances where the Executive Director is on leave or unavailable, the CSWO assumes responsibility for Social Work Resources. The Executive Director deputises for the CSWO as needed.

#### Reporting Arrangements

South Lanarkshire Council is a Labour led administration, with sixty seven elected members (38 SLP, 21 SNP, 4 Conservative/Unionist, 2 Independent, 1 SLDP, and 1 Solidarity Scotland). Social Work Committee deals with the majority of the business relevant to the CSWO role as well as strong links to other key member groups including relevant audit, scrutiny, equality, and member officer working groups.

The CSWO is a member of the Integration Joint Board (IJB). The Board has eight voting members, four of whom are elected council members and four NHS Lanarkshire Board non-executive members as well as the third sector, independent sector, service user and carer representation and trade union representation. Child and Family and Justice Social Work Services are not currently included in the South Lanarkshire Integration scheme and therefore lie outside the Health and Social Care Partnership.

Social Work Resources, along with other Council Resources has to produce an annual Internal Statement of Assurance, covering general good governance, internal controls, information governance, systems of governance and control.

Social Work Resources has a quarterly performance and monitoring system, which allows services within the Resource to assess performance against key Council and Social Work Resources objectives. The performance is used to prepare the Resource Plan highlighting areas of progress and approaches to continuous improvement. The CSWO monitors performance as part of their role.

#### Partnership Structures

The CSWO is a member of a number of influential decision-making forums through which they have a significant leadership role in shaping the overall strategic direction of services. In summary, examples of the key forums which the CSWO attends and influences include:

<b>Structure</b>	<b>Role</b>
<b>Council</b>	Attends the Heads of Service meetings Attends the Social Work Committee Attends other Council committees as appropriate Attends the Corporate Management Team meetings as appropriate Attends the Learning and Developments Board
<b>Integrated Joint Board</b>	Attends meetings of the Board Attends Health and Care Management meetings is Depute Chair of the Support, Care and Governance Group
<b>Children's Services</b>	Member of the Getting it Right for South Lanarkshire's Children (GIRSLC) Partnership Board Chair of the GIRSLC Strategy Group, which develops the partnership's Children's Services Plan
<b>Public Protection</b>	Member of the Chief Officers' Group Member of the Child Protection Committee Attends the Adult Protection Committee as required Member of MAPPA Strategic Oversight Group/Chair on a rotational basis
<b>Community Planning</b>	Attends the Community Planning Partnership Board as appropriate Member of Safer South Lanarkshire Steering Group Attends Lanarkshire Community Justice Authority Chair of South Lanarkshire Community Justice Planning Group Depute Chair of Lanarkshire Alcohol and Drugs Partnership (ADP) Member of Lanarkshire Data Sharing Partnership Board

#### **4 Social Services Landscape/Market**

Social Work in South Lanarkshire has many challenges arising from the socio-economic 'make-up' of the local authority area as outlined in section 2 Local Authority overview above.

Against this brief overview of South Lanarkshire, demand for social work and social care services continues to be high. The following gives an overview of the main areas of activity which the CSWO oversees and relate to 2015/16 in terms of the statistical data:

In 2014-15 we delivered services that:

- Worked with 1781 people to promote independence as part of the Supporting Your Independence approach;
- Provided 13,689 items of equipment to people to enable them to stay at home;

- At any time, Social Work Resources can support up to 227 older people with a home like environment in the council's own residential homes and up to 1571 older people in private or voluntary care homes;
- Our Adult Support and Protection activity showed increased demand this year. In relation to adults under 65 we supported 1215 inquiries which led to 77 investigations, and for adults over the age of 65 we supported 1011 inquiries leading to 49 investigations;
- For local authority welfare guardianship orders, visits have been maintained at a good level over the course of the year at 88% within timescale;
- For private welfare guardianship orders, demand remained high with 83% of visits being completed within timescale;
- Protected 662 children through child protection investigations. At 31 March 2016, there were 172 children on the Child Protection Register;
- Prepared 570 reports for children who were supported through the Children's Hearing system;
- Supported 190 children and young people in foster placements on a full time basis;
- 548 children were looked after by the council. Of these children: 288 or 52.6% were looked after at home; (110 of these with friends and relatives); 190 or 34.7% were looked after by foster carers/prospective adopters. 12.8% children were in residential accommodation, 41 or 7.5% in the council area, 13 or 2.4% in residential schools 12 or 2.2% required specialist, out of area placements to meet their needs;
- Supported 1051 people with a learning disability to live in their own communities;
- Worked with 7308 adults with a physical disability who were referred to the physical disability teams;
- Worked with 837 individuals with a mental health problem who were referred to Community Mental Health Teams;
- Supported 648 people to complete a Community Payback order, including providing the opportunity for personal development or learning opportunities;
- 1137 individuals were supported by substance misuse services, following a referral for alcohol or drug misuse; and
- During the past year Money Matters Advice Service has helped residents of South Lanarkshire to claim over £17.4m in benefits and over £3.3m in backdated payments. As well as this, Money Advisors have helped people to deal with over £10.6m debt

Commissioning and partnership activity:

Social Work Resources has a lead partnership role in commissioning services for people who require support. The Resource recognises that positive outcomes can be achieved through partnership work with a range of agencies. Services need to be innovative and build on the assets and strengths of individuals and communities.

In house Services:

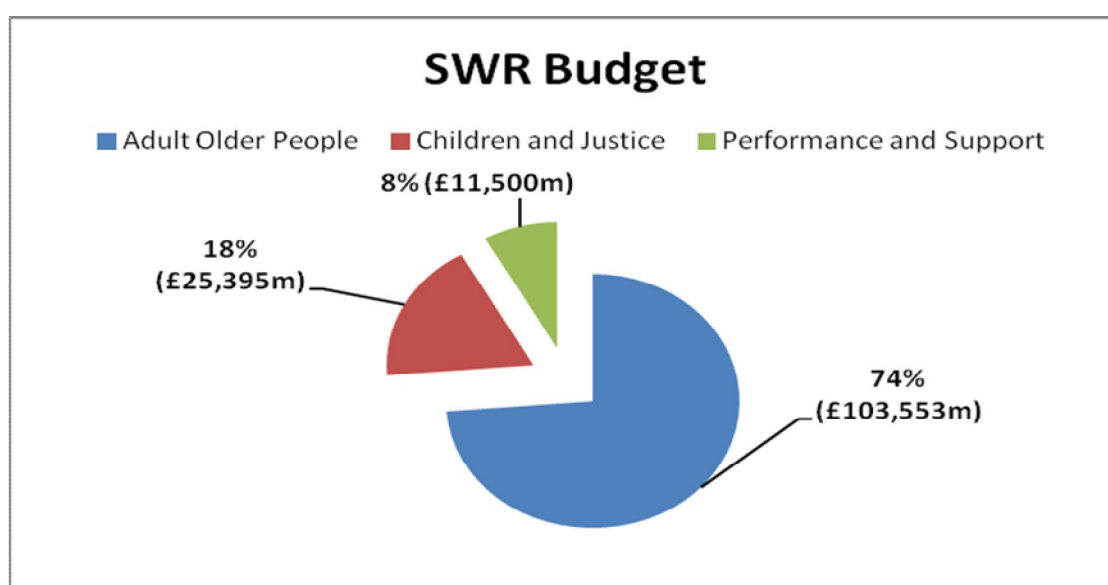
Social Work Resources employs 3,030 staff and provides a broad range of services to the most vulnerable people in South Lanarkshire. As outlined above this covers all client groups: children, families, adults and older people, carers and includes services for people with learning and physical disabilities, people with substance misuse problems, people with mental health problems, people in the justice system, home care, day care (services include personal support) and residential services. Our services operate across our four main local office localities alongside the range of our own registered services that are matched into these localities.

### External Services:

Social Work fund a wide arrange of contacted services provided by the independent sector voluntary and private sector. There are forty four independent care homes for older people, fourteen care homes for adults, and a small number of children's care homes in the Council area. We maintain occupancy levels for all care homes in the Council area. Some independent Care Homes have closed in this local authority. We have a range of Home Care Providers, Day Care Service Providers, and Supported Living Providers operating across our local office localities.

## 5 Finance

The total budget for delivery of social care services within South Lanarkshire Council during 2015/16 was £140.448m and was split as follows:



There are number of financial challenges which Social Work Resources had to manage in 2015/16 including:

- the financial impact of demographic growth;
- contribution to the year on year savings target for the local authority of £15m. In a social work context this resulted in a savings target of £3.5m; and
- an increase in the demand for external placements for children, with a rise in costs for these, which can range from £3,500 per week to in excess of £5,500 per week for a residential care placement.

These pressures are highlighted through the Council's Risk Management approach and the Resources Risk Register and Risk Control Plan which mitigates the identified risks listed below:

Risk Description	
1	Reduction in funding and income generated by the Council

2	Integration of Health and Social Care
3	Self-directed Support (SDS)
4	A lack of intervention or action by the council fails to prevent the death, neglect or injury to service-users
5	Failure to meet legislative requirements
6	Reputation is damaged following poor external evaluation
7	Partnership arrangements are not effective
8	Change management and strategic direction
9	Information management
10	Business continuity arrangements are not complete or robust
11	There are not enough trained, competent and qualified staff to lead and deliver quality, person centred services
12	Reduced funding and savings difficulty
13	Effects of implementation of Welfare Reform legislation

A range of service developments with cost implications are also in place. Some examples include:

- investment of £1 million for demographic growth and £1million to address service financial uplifts;
- recruitment of more home carers to provide the Supporting Your Independence approach, which focuses on the capacity of individuals as opposed to a deficit model;
- continuing to increase the number of foster carers and prospective adopters to support permanency planning/ stability for young people.

## 6 Service Quality and Performance

Quality and performance reporting and management are intrinsic parts of the duties of the CSWO. A full report can be found in the Resource Plan, which is currently being finalised for 2016/17. This will incorporate performance figures from 2015/16. Examples of how service performance and monitoring is addressed are given below:

- a quarterly meeting is dedicated to performance management in line with the reporting timescales of the quarterly report. Examples of performance activity, which are discussed includes findings from case file audit activity and self – evaluation, the greatest Social Work risks and financial performance;
- the performance scorecard within the Resource Plan also has a number of measures which relate to the Council Plan and these are formally reported to the Council's Executive Committee twice a year. Any measures which have amber or red progress status is discussed at the Council's Scrutiny Forum. Where this is the case, a Head of Service Manager from the Social Work Resources Management Team is required to attend the Scrutiny Forum to explain performance and potential improvement activity;
- as part of their statutory responsibilities the Accounts Commission carry out an audit of public performance reporting arrangements every year to provide continuity to support progress with the Local Government Benchmarking Framework (LGBF). Social Work Resources is responsible for reporting a range of information to demonstrate that it is securing Best Value in providing services. Over the past three years we have shown continued improvement in our collection of performance information and the way we report on outcomes.
- Joint Inspection of Services for Children and Young People undertaken in 2014 and subsequent action plan
- Joint Inspection of Older Peoples Services undertaken in 2015; this report is awaited

- Regulation of 47 registered services – Care Inspectorate Evaluations
- Investors In People – Council has achieved Gold Status
- Customer Service Excellence (Home Care, Day Care, Residential Care, Mental Health)

## 7 Statutory Functions

The CSWO is active in overseeing the quality of services and is responsible for ensuring that staff are appropriately trained and supported to carry out their professional duties in an appropriate manner. This is done in a number of ways including:

- regular meetings between the CSWO and senior managers to discuss performance and other operational issues;
- analysis and management of information relating to Guardianship Orders;
- the Learning and Development Board meets on a quarterly basis. Monitoring Reports presented at these meetings summarise all training underway for Resource staff. Self-directed Support, Choose Life, Doorway, Welfare Reform, Children's Services (including child protection), SWISplus systems training, Mental Health, Criminal Justice and SVQ activity all feature in the Learning and Development Board's Training Plan;
- significant case/learning reviews are undertaken when required and follow an agreed procedure to ensure that all findings and areas for improvement are reported back and actioned;
- monthly staff updates are posted on the Council's intranet. These cover issues of local interest and concern and ensure that staff members are up-to-date with events across the Resource. Staff that do not have ready access to the intranet are updated by managers as part of local team meetings;
- the CSWO will lead staff seminars, which incorporate the actions and measures listed within the annual Resource Plan;
- the CSWO is responsible for ensuring that there are effective governance arrangements for the management of the complex balance of need, risk and civil liberties in accordance with professional standards, for example Adult Support and Protection and Child Protection guidelines;
- the CSWO actively promotes continuous improvement and evidence-informed practice, including the development of person-centred services that are focussed on the needs of the service-user. The CSWO also oversees the quality of practice learning experiences for social work students and effective workplace assessment arrangements in accordance with the SSSC Code of Practice. This is evidenced by a strong partnership arrangement, which is in place with Glasgow Caledonian University, whereby cohorts of students are provided with placements annually across the Social Work service. Each placement is supported by a Practice Teacher identified from the South Lanarkshire Social Work services workforce;
- The CSWO makes decisions with regard to the need to place children in secure accommodation and the review of such placements. The CSWO Chairs meetings relating to individual children;
- responding to Care Inspectorate reports and findings from local and national activity, addressing the requirements of internal and external audit, including reporting on progress against outcomes and follow-up actions from this activity. This includes discussing this with the Chair of Social Work;
- meeting corporate governance requirements through the annual Internal Statement of Assurance, overall Governance Assessment Framework and discussing and agreeing this with the Chair of Social Work;
- Mental Welfare Commission Reports; and

- Significant Case Reviews and Significant Incident Reviews as required. Significant Case Reviews (SCR) are published on South Lanarkshire Council's Adult Protection Committee's website and the Child Protection Committee's website for South Lanarkshire. Learning from SCRs is crucial for staff across the Resource. Actions are agreed and taken forward as a partnership approach as a result of reports published.

All social work staff working with service-users are bound by a professional Code of Conduct which is governed by the Scottish Social Services Council (SSSC). The Council's Code of Conduct for Social Work staff has drawn on this framework; all staff, regardless of qualification, have agreed to adhere to specific professional codes that guide their practice.

Risk management is a key duty for Social Work Resources, both in a service wide and individual service-user and carer context. From a service perspective, the Council's Risk Management Strategy promotes consideration of risk in service delivery, planning and decision making processes. Social Work Resources follows the Council's guidance in developing, monitoring and updating the Resource Risk Register on an ongoing basis. Staff within the Planning and Performance team have been trained to use the Gallagher Bassett methodology in assessing risk. There are 13 top service risks identified for the Resource and these are reviewed and monitored on a regular basis with the aim of mitigating any increased risk/s because of changes in the micro and macro environment. The detailed list is included in section 6 Finance above

## 8 Continuous Improvement

The CSWO leads an active improvement agenda within Social Work Resources and across the partnership. Examples of this activity include:

- using a self-evaluation model to audit case files. This practice is disseminated across the teams within the localities. Staff are encouraged to use the model in Supervision. There is also an annual case file audit of in-house services (residential, day care and care and support);
- self-evaluation activity in Adult and Older People's Services using the Quality Indicator Framework provided by the Care Inspectorate. This involves practitioners and frontline managers in the four localities undertaking self-evaluation activity against an agreed number of quality indicators. Findings are collated to give an overall South Lanarkshire profile, together with agreed improvement actions;
- In preparation for the Joint Inspection of Older Peoples Services the Resource undertook a self evaluation of all 27 Quality Indicators and also provided 11 supplementary position statements on specific themes;
- an annual report about complaints is taken to Social Work Committee with improvement actions;
- service user/carers participation and involvement activity (see further details in this report) whereby feedback and input is sought directly in relation to how we can improve services using tools such as electronic surveys, interactive sessions using the option finder key pads and through our user and carer involvement in joint planning structures;
- the CSWO holds annual locality events for staff in supporting communication and engagement. The locality events highlight some of the challenges and opportunities for the Resource and feedback shapes the annual Social Work Resource Plan. Sessions are planned for April 2016;
- the investment into the performance management system (IMPROVe) has supported frontline managers with real time management information, whereby the information is live at the point in time of being accessed. This system allows frontline Managers to look at detailed caseload information and timescales they have to meet for aspects such as

AWI visits and the supervision of children under statutory requirements. In addition to this, the system allows the higher level performance measures within the Resource Plan to be tracked and measured daily. This has greatly enhanced performance management capacity and knowledge across the service, allowing for remedial, corrective action to be taken instantly, given that the information is 'real time'; and

- Child Protection and High Risk Offenders audit work and action planning as a result; and
- Mental Welfare Commission Reports which are presented and discussed at the Health and Care Management meeting with follow-up actions agreed where appropriate;
- meetings with the Link Inspector from the Care Inspectorate are undertaken on a regular basis to ensure continuous improvement and self evaluation is taken forward across the Resource.

## 9 Planning for Change

The CSWO has a significant role in planning and leading change. Examples of this can be as a result of the recommendations made from inspection reports or through whole systems change such as the implementation of Self-directed Support. Further examples include:

- the Single Outcome Agreement and Council Plan provide a framework, which maps out the areas of change that Social Work and other partners require to respond to. In meeting these, the CSWO is involved in the development of the annual Social Work Resources Plan which details how the service (annually) will contribute to this agenda. As above, there are robust systems in place to monitor and report progress, including how we continue to meet statutory requirements;
- planning for the ongoing management of demographic change, particularly against a backdrop of a growing older person's population, which will see the projections for 65+ population estimated to grow 2% year on year and almost 1.5% year on year for the 85+ age group. Initiatives such as Supporting Your Independence (SYI) and the Integrated Community Support Team approach are underpinned by a central philosophy of trying to maximise service-user and carer potential to maintain people within their own communities, whilst avoiding unnecessary hospital admissions;
- building capacity within Children and Family Services to support young people to be cared for in their communities. Significant redesign and investment activity within the Fostering and Adoption Service and Intensive Family Support Service has enhanced our approach to Corporate Parenting. This was recognised by the Care Inspectorate in their inspection of Fostering and Adoption services where both services received a mix of 'excellent' and 'very good' grades against the quality indicator frameworks; and
- adult health and social care integration has involved significant planning for the future. The CSWO is involved in this area of work building on that of the previous CSWO who led with partners, the development of a change management programme leading to full implementation of the Public Bodies (Joint Working) (Scotland) Act 2014. In particular the CSWO has co-led the shaping of the draft Support, Care Clinical and Case Governance arrangements.



Partnership working forms the foundation of Social Work Resources' approach to supporting and protecting vulnerable adults and children. Legislative duties in establishing the Health and Social Care Partnership also reinforce the importance of joint working; ultimately working towards a more 'seamless' approach for people in receipt of services and support. 'Co-production' (working in partnership) is the over-riding approach across all client groups (children, adults and older people) as self-directed support continues to be implemented and the Resource is committed to recognising carers and 'equal partners' in the care planning process.

User and carer participation and involvement (working in partnership) is a key area of responsibility for the CSWO. Significant work has been undertaken to develop a consistent and meaningful approach within Social Work. The Participation and Involvement Strategy (which was reported by Inspectors in the Inspection of Children Services as 'exemplary') outlines our approach, which is built upon the eight principles of citizen leadership:

- **Potential** - Everyone should have their leadership potential recognised;
- **Development** - People's leadership potential can only be fulfilled through opportunities for development;
- **Early Involvement** - People who use services and carers must be involved at all stages of developing and delivering services;
- **Person-centred** - Everyone is an individual and should be helped to show leadership in the way that suits them best;
- **Information** - People need information that is clear to them and they need it in plenty of time;
- **Equality** - People use their leadership skills to challenge inequality in services and wider society;
- **Control through Partnership** - Citizen Leadership enables people to have more control over their own services, through working in partnership with those services;
- **Wider Benefit** - Citizen Leadership is for the benefit of other people who use services as well as yourself.

A range of tools and approaches are used to engage service-users and carers including individual, group activity, service wide activity and electronic methods such as online surveys. Examples of the delivery of this strategy include:

- co-production and empowering service-users and carers to identify and achieve their desired outcomes is central to the assessment, support planning and review process that Social Work Resources has put in place for adult, older people and children's services. This has been further reinforced by the requirements of Self-directed Support legislation and the Children and Young People (Scotland) Act 2014, which reaffirms the importance of the Getting it Right for Every Child approach;
- advocacy for children and young people supported through the work of *Who Cares? Scotland* as a key partner in children's services;
- advocacy for adults and older people;

*"My advocate made me feel important, confident and told me that my views should be heard. I told my social worker that I wanted to make some changes, she agreed and I started to do my own shopping. I feel that I make my own choices now".*

- the development of locality planning groups through health and social care integration;

- carers' groups within each of our residential older people's homes and adult day care centres; the VOXUR tool is used to record DVD evidence of service-users' satisfaction;

*"I have nothing but the highest regard for the staff and operation of the centre. I have been to some very informative open evenings with guest speakers".*

- representation of key third sector groups within planning and decision making processes, for example South Lanarkshire Carers' Network, Carers Strategy Group and the Young Voices Group for children and young people who are looked after and accommodated; and
- the GIRFEC assessment tool, which uses the "What I think tool" and VIEWPOINT to capture and embed the child's view through the Child's Plan;
- engagement with young people and other stakeholders about corporate parenting;
- engagement with Young Carers;

*"I am the locality representative of the South Lanarkshire Young Carers Forum and attend Universal Connections, which is a centre run by South Lanarkshire Council's Youth Learning Service where young people are encouraged to take part in lots of fun learning activities such as going to the cinema and cookery. It's a great place for me to get away from it all and for me to be me".*

- SDS Carer and Service-user Group.
- Exit Interview for offenders completing a Community Payback Order:

*"It helped me reflect on my mistakes, the damage I had done, the people I had let down and how my mistakes affected not only my life but others around me too".*

## 11 Leadership

The CSWO has a key leadership role, both from a local authority and partnership perspective. Examples of where the CSWO has led and helped shape leadership capacity are as follows:

- The development and implementation of the Citizen Leadership approach outlined in the Participation and Involvement Strategy for Social Work Resources;
- Frontline managers have benefited from leadership training, which included elements such as emotional intelligence, self awareness and key processes;
- Building on the work of the previous CSWO, the current CSWO will support possible successors through the Chief Social Work Officer Award offered by Glasgow Caledonian University;
- A new programme has recently been developed for frontline managers across residential and day care services. The programme will be delivered using a 'blended' approach to include e-learning, face-to-face inputs and will make use of the 'Step Into Leadership' tools developed by the Scottish Social Services staff;
- Social Work Resources has conducted a pilot mentoring programme which has been evaluated with positive outcomes. This programme will be developed corporately with a view to embedding a mentoring/coaching approach across the Council;

- Self-directed Support: a new co-produced assessment is now operational across Adult and Older People's Services and the Child's Plan has been amended to meet the statutory requirements of SDS. Support planning and a Carers' Support Plan are also being developed to support the statutory requirements alongside the new Communication Strategy for SDS. An intensive training programme for frontline staff and managers remains on-going;
- The CSWO has contributed to Health and Social Care Integration. The Joint Strategic Commissioning Plan has been finalised and on 1<sup>st</sup> April 2016, integration became operational when the new Health and Social Care Partnership for South Lanarkshire was formed. Work is on-going in terms of a communication strategy to support integration and locality planning groups are now being established that will report into the Integrated Joint Board;
- Dementia Strategy: a pathway has been developed, which details the level of input/training required for each sector of the workforce from 'Informed' through to 'Expert'. Five employees of Social Work Resources are Dementia Champions. The programme includes colleagues from other Resources within the Council and also Health colleagues;
- All staff within Social Work Resources have been registered within the timescales set out by the SSSC. Where staff have conditional registrations, the achievement of appropriate qualifications is required;
- The register for Workers in Care at Home Services opens in 2017 and a significant development programme is already underway to support staff to gain the required qualification. A plan will be developed over the coming year to ensure that workers who fall within this part of the register are supported through the registration process;
- Newly qualified Social Workers undertake an induction programme which is supported by the Learning and Development Team. They are assigned a mentor to support them in their first year of practice and they are guided through their first Post Registration Training and Learning (PRTL) before they are allowed to practice as a fully qualified Social Worker; and
- There is also a planned approach to the overall development of our social care workforce, through the Learning and Development Board, to ensure that all employees are given access to appropriate developmental opportunities. All employees within the Council receive an annual Performance Review (PDR), which includes an identification of learning and training needs. This is progressed through employees' Line Managers and overseen by the Learning and Development Team to ensure that all employees receive the training that is appropriate to their role and function. Social Work Resources supports evidence informed practice and in developing its research culture funds a number of post-graduate courses to support staff with their learning and development.

## 12 Key Challenges for the Year Ahead

Whilst there are a number of challenges, the CSWO also views these as presenting some real opportunities. In view of this, a summary of the main challenges and opportunities for the CSWO and the service in 2016/17 are:

- Continuing implementation of health and social care integration, which builds on and enhances the existing joint working relationships across the partner agencies in South Lanarkshire;
- taking forward the Joint Strategic Commissioning Plan as a result of the integration of health and social care and a robust financial framework to support this;
- monitoring and delivering on the Action Plan following the Joint Inspection for Children and Young People's Services;

- responding to the improvement actions of the Multi-agency Inspection of Older People's Services within South Lanarkshire 2016;
- the continuing implementation of the Children and Young People (Scotland) Act 2014 and the opportunity to further enhance and bolster an already well developed GIRFEC approach in South Lanarkshire;
- permanency planning for children is advanced and timeframes improved
- corporate Parenting Core Commitments are advanced and lead to improved outcomes for our looked after and accommodated children and young people.
- kinship carer payments are reviewed along with support arrangements.
- implementing the National Partnership Agreement in respect of Looked after Children who go missing from Residential and Foster Care in Scotland.
- the re-aligning of Children's Services Planning; and working with the Realigning Children's Service Programme,
- supporting unaccompanied asylum seeking children (UASC). A review of the South Lanarkshire Council protocol for managing UASC and Age Assessments for those claiming to be aged 16-18yrs has been undertaken. A draft protocol is being prepared. This will achieve greater consistency across the locality offices and create a 'bank' of suitably trained Lead Professionals who will receive specialist training to ensure UASC interventions are fair, supportive and transparent.
- managing expectations, whilst continuing to meet service-users' outcomes against a challenging financial framework;
- learning from the challenges of implementing The Social Care (Self-Directed Support (Scotland) Act 2013 to ensure there is sustained improvement in outcomes for service-users and carers; and
- supporting carers, with the new duties conferred upon local authorities through the Carers (Scotland) Act 2017; and
- the re-design of Justice and Reception Services. Developing services for women offenders is a high priority with the Justice Service. The four locality Women's Hubs model was established in 2014 across South Lanarkshire Council, in response to the Commission on Women Offenders, 2012 report. This model was devised to create capacity for Justice Case Managers to address complex, demanding and ongoing welfare, wellbeing and community integration needs of women offenders in a collaborative, supportive and cohesive manner;
- taking forward penal reform - South Lanarkshire has been chosen, by the Scottish Government along with three other local authorities, as a test site. The aim of this is to reduce the use of remand and short term custodial sentences using alternatives to custody including more reliable community bail options by having more person-centred co-ordinated services.

Robert Swift  
 Chief Social Work Officer  
 South Lanarkshire Council  
 28 April 2016

Report to:	<b>South Lanarkshire Integration Joint Board</b>
Date of Meeting:	<b>28 June 2016</b>
Report by:	<b>Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership</b>

Subject:	<b>Lockhart Hospital</b>
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## 1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ update the Integrated Joint Board on the current position in relation to the cessation of admissions to Lockhart Hospital, Lanark;
- ◆ provide background as to the current position; and
- ◆ provide information on next steps in securing a viable and sustainable future service provision for the local community.

## 2. Recommendation(s)

2.1. The Integrated Joint Board is asked to approve the following recommendation(s):-

- (1) that the current position in relation to Lockhart Hospital, Lanark is noted; and
- (2) that a further update is submitted to a future meeting as plans for alternative models are more defined.

## 3. Background

- 3.1. Lockhart Hospital in Lanark is a 30-bed community hospital providing care for acute medical patients, as well as rehabilitation and end of life care. It is one of three such hospitals in the Clydesdale area, the other two being Kello Hospital in Biggar and Lady Home Hospital in Douglas.
- 3.2. Previously, the day-to-day medical cover was provided by Lanark doctors (General Practitioners) together with consultant and other clinical input as required.
- 3.3. Recognising the difficulties the Lanark doctors were having in meeting their own patient access requirements, the practice – in discussion with NHS Lanarkshire – took the difficult decision to give six months' notice of their intention to withdraw from the contract to provide medical services at Lockhart Hospital in 2015.
- 3.4. Following discussions with other GP practices in Clydesdale, the Biggar practice took on the role of providing the GP input to Lockhart, albeit with the support from NHS Lanarkshire to source and fund a GP locum to assist the practice both in terms of covering their own staffing issues as well as providing the GP input to Lockhart. The practice is also continuing to cover Kello Hospital in Biggar.
- 3.5. The locum doctor has notified their intention to resign as a result of personal circumstances changing. As a result, the Biggar practice no longer has the capacity

to cover their own practice, Kello Hospital and Lockhart Hospital at a time when they are themselves short staffed.

- 3.6. Contact was made with circa 600 locums and locum agencies to ascertain if any immediate cover could be available. In addition, existing GP practices in NHS Lanarkshire were asked if there was any support they could provide. Regrettably, this has not met with any success in recruiting additional locums.
- 3.7. Further admissions to Lockhart have been stopped meantime and alternative care arrangements for the remaining patients identified and discussed with the patients and their relatives. The Health and Care Partnership also assisted in expediting home care and community care assessments for the patients who met these criteria.
- 3.8. In recognition of the increasing frailty of GP coverage in the Clydesdale area and beyond, it is important to attempt to stabilise the ongoing support to Kello and Lady Home Hospitals to continue to be able to provide the current levels of inpatient and minor injury care they can provide.
- 3.9. The role of the integrated community support team, hospital at home, council residential homes, nursing homes and home care need to be considered as part of the wider service provision. This should also recognise the aspiration to increase the care of people at home and reduce the reliance on hospital beds.
- 3.10. Meetings have taken place with staff in the hospital to provide them with updates of the current position as well as setting out future plans to support them in continuing to provide services in the Clydesdale area.
- 3.11. The Biggar practice ceased being able to provide cover w.e.f 20 May 2016, and the remaining inpatients all discharged by 25 May 2016.
- 3.12. Plans will be undertaken within the coming weeks as to what other services may continue to be/could be provided from the Lockhart Hospital site moving forward.

#### **4. Wider GP Staffing Issues**

- 4.1. As in a number of other areas across Scotland, there is a growing number of GP practices within Lanarkshire with vacancies and a cohort of GPs in their 50s who could soon decide to retire. As such, a key area of risk moving forward will be sustainability of core GP services and this will be supported by the Primary Care Transformation work currently commencing in the Board area.
- 4.2. GP staffing has now been placed on the Health Board's Corporate Risk register.

#### **5. Employee Implications**

- 5.1. Alternative employment has been secured for all staff in the interim period whilst more definitive and sustainable alternative care models are secured. Beyond that, NHS Lanarkshire operates a no redundancy policy and as such, no matter what the long term outcome is, there will be suitable alternative employment offered to all members of staff.

#### **6. Financial Implications**

- 6.1. None in terms of the content of this report.

#### **7. Other Implications**

- 7.1. The wider GP staffing issue is included on the NHSL risk register.

7.2. There are no sustainable development issues associated with this report.

7.3. There are no other issues associated with this report.

## **8. Equality Impact Assessment and Consultation Arrangements**

8.1. Full EDIA and consultation will be undertaken as part of the process to identify suitable and sustainable care models going forward.

8.2. Full briefings have been provided to MSPs, Elected Members, public meetings and the media.

## **Harry Stevenson**

**Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership**

Date created: 27 May 2016

## **Previous References**

◆ Minutes of 6 October 2015, Paragraph 7

## **List of Background Papers**

◆ none

## **Contact for Further Information**

If you would like to inspect the background papers or want further information, please contact:-

Craig Cunningham

Head of Commissioning and Performance

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Report to:	<b>South Lanarkshire Integration Joint Board</b>
Date of Meeting:	<b>28 June 2016</b>
Report by:	<b>Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership</b>

Subject:	<b>Performance and Audit Sub-Committee - Programme of Meetings</b>
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## 1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ advise the Integration Joint Board of the forward programme for future meetings of the Performance and Audit Sub-Committee.

## 2. Recommendation(s)

2.1. The Integration Joint Board is asked to approve the following recommendation(s):-

- (1) that the future programme of meetings for the Performance and Audit Sub-Committee for the period 1 April 2016 to 31 December 2017, as detailed in the appendix to the report, be approved.

## 3. Background

3.1. At its inaugural meeting on 6 October 2015, the Integration Joint Board (IJB), as part of its governance arrangements, approved the Standing Orders to support the South Lanarkshire Integration Board.

3.2. Within the Standing Orders, provision is made for the Integration Joint Board to establish sub-committees of its members for the purpose of carrying out such of its functions as the Board may determine.

3.3. The IJB at its meeting on 19 April 2016 approved the establishment and membership of a Performance and Audit Sub-Committee.

## 4. Proposal

4.1. In accordance with the Terms of Reference for the Sub-Committee, it is proposed that the Sub-Committee meet four times per year as detailed in the appendix to the report.

4.2. The Sub-Committee will be chaired by the Depute Chair of the IJB and will be appointed for the period 1 April 2016 to 31 March 2017. Thereafter, the Chair will transfer to South Lanarkshire Council in terms of the Standing Orders for the IJB.

## 5. Employee Implications

5.1. There are no employee implications arising directly from this report.

## **6. Financial Implications**

6.1. There are no financial implications arising directly from this report.

## **7. Other Implications**

7.1. There are no sustainability issues identified in relation to the content of this report.

7.2. There are no additional risks associated with this report.

7.3. There are no other issues associated with this report.

## **8. Equality Impact Assessment and Consultation Arrangements**

8.1. This report does not introduce a new policy, function or strategy, or recommend a change to an existing policy, function or strategy and, therefore, no impact assessment is required.

8.2. There are no requirements to undertake any consultation in terms of the information contained within this report.

**Harry Stevenson**

**Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership**

Date created: 13 May 2016

## **Previous References**

- ◆ Integration Joint Board 19 April 2016 (Paragraph 9)

## **List of Background Papers**

- ◆ Terms of Reference for the Performance and Audit Sub-Committee

## **Contact for Further Information**

If you would like to inspect the background papers or want further information, please contact:-

Joyce McDonald, Administration Adviser

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**Integration Joint Board**  
**Performance and Audit Sub-Committee**  
**Programme of Meetings**  
**1 April 2016 to 31 December 2017**

**Sub-Committee Meeting Dates**

Meetings of the Performance and Audit Sub-Committee will be held in the Council Offices, Almada Street, Hamilton on the following dates:-

Tuesday 28 June 2016 at 1.00pm  
Tuesday 30 August 2016  
Tuesday 29 November 2016  
Tuesday 28 February 2017  
Tuesday 23 May 2017  
Tuesday 29 August 2017  
Tuesday 28 November 2017

**NOTE:**

In terms of the Standing Orders for the Integration Joint Board and the Terms of Reference for the Sub-Committee, the Depute Chair of the IJB will Chair the Sub-Committee. Thereafter, responsibility for the Chair will transfer in accordance with the appointment of the Chair and Depute Chair of the IJB.



Report to:	<b>South Lanarkshire Integration Joint Board</b>
Date of Meeting:	<b>28 June 2016</b>
Report by:	<b>Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership</b>

Subject:	<b>NHS Lanarkshire Healthcare Strategy</b>
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## 1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ share with the Integration Joint Board (IJB) the draft NHS Lanarkshire Healthcare Strategy 2017; and
- ◆ advise the IJB of the linkage between the Healthcare Strategy and the previously circulated Strategic Commissioning Plan for the South Lanarkshire Health and Social Care Partnership (HSCP).

## 2. Recommendation(s)

2.1. The Integrated Joint Board is asked to approve the following recommendation(s):-

- (1) that the content of the Draft Healthcare Strategy is noted;
- (2) that the proposed consultation process to share the strategy with the wider public is noted;
- (3) that the timetable for consultation, engagement and subsequent approval/adoption is noted;
- (4) that how the respective Healthcare Strategy and Strategic Commissioning Plan will be implemented, ensuring synergy and joint improvement whenever possible is noted;
- (5) that the Chair, Chief Executive and Director of Planning and Performance are invited to an information sharing session with the IJB/wider Council representatives; and
- (6) that the instruction to provide written response as part of the wider consultation process is noted.

## 3. Background

- 3.1. The Draft Healthcare Strategy sets out the case for change in meeting the current and future health and social care demands of a population which is getting older and also more prescriptive in describing the way they would want services delivered.
- 3.2. The strategy describes some of the impacts of these changes and, in turn, how health and social care services may be reviewed to meet these demands in a more flexible and innovative way moving forward.
- 3.3. Importantly, the strategy recognises the role of the emerging Health and Social Care Partnerships and importantly, the contribution of primary care to the wider health and social care service provision in the coming years. In this respect, staff from the

HSCP have been heavily involved in producing the draft strategy and, in some cases, leading the production of sections therein.

- 3.4. The strategy sets out a high level vision across a number of key clinical areas and describes the respective aims of each of the component parts.

#### **4. Linkage to the Strategic Commissioning Plan**

- 4.1. There are various areas of overlap in the draft healthcare strategy and the Strategic Commissioning Plan of the IJB. Accordingly, as the implementation details are produced for the respective plans then so there needs to be a clear understanding of process around timescales, implications for service users and staff and full financial planning of all future models of care.

#### **5. Employee Implications**

- 5.1. In future possible redesign of services may lead to change.

#### **6. Financial Implications**

- 6.1. There may be funding issues in the future as yet not identified.

#### **7. Other Implications**

- 7.1. There are no additional risk implications associated with this report.
- 7.2. There are no sustainable development issues associated with this report.
- 7.3. There are no other issues associated with this report.

#### **8. Equality Impact Assessment and Consultation Arrangements**

- 8.1. The Equality Impact Assessment will be undertaken as part of Healthcare Strategy development.
- 8.2. Whilst many aspects of the ambitions and outcomes described in the draft Strategy will be recognised from other work (e.g. the 2020 Vision, the National Clinical Strategy and local strategies for cancer, palliative care etc), there are elements of major service change included in the proposals which require mandatory consultation: this includes the preparation of a business case for the redevelopment/replacement of Monklands DGH and the creation of a major trauma unit for Lanarkshire.
- 8.3. Therefore, the draft Strategy as a whole will be subject to a three-month consultation which will assist the NHS Board (and IJBs) to assess the nature and content of the final Healthcare Strategy from 2017 onward.
- 8.4. The report on the consultation process will include assessment on its conduct from the Scottish Health Council, and their report will be considered by the Cabinet Secretary for Health and Wellbeing.

**Harry Stevenson**

**Executive Director (Social Work Resources) and Chief Officer, Health and Social Care Partnership**

Date created: 15 June 2016

**Previous References**

- ◆ none

**List of Background Papers**

- ◆ none

**Contact for Further Information**

If you would like to inspect the background papers or want further information, please contact:-

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