

Audit Scotland Recommendations:	Reported to IJB Meeting 29 th January 2016. <i>Local response at demonstrating the position within Dumfries and Galloway on how we are or will be addressing these.</i>	Progress/Action Plan @ 14 July 2016
Provide clear and strategic leadership to take forward the integration agenda.	<ul style="list-style-type: none"> • At the IJB meeting of 5 November 2015 the board appointed a Chief Officer and a Chief Finance Officer • The IJB is responsible for the strategic planning of the functions delegated to it and for ensuring the delivery of its functions through the locally agreed operational arrangements set out within the Scheme. • The establishment of a single management structure managed through an Adult Health and Social Care Management Board has been designed, creating 4 localities each managed by a Locality Manager overseen by one senior manager with operational responsibility. The Localities will be operating through distributed leadership with decisions being taken as close to the front line as possible. The authority to act, accountability for service provision and the majority of operational decisions will therefore lie with the Locality Management Team which is ultimately accountable, via the Chief Officer, to the Integration Joint Board, which acts as the overarching governing body to ensure delivery of service provision and quality care. • Our integration activities are informed and directed through our agreed Integration Scheme and once approved the Strategic Plan and 4 Locality Plans all of which have been developed through consultation with, and engagement of a wide range of partner organisations, users of services and communities of interest. 	<ul style="list-style-type: none"> • An Interim Head of Governance and Improvement is now in place • Strategic plan published and in place for 1st April 2016 in accordance with legislative requirements. • Locality delivery plans for 2016/17 currently being developed <p>The integration structure is continuing to evolve and, in addition to the locality structure described previously, a new structure for acute services is also beginning to emerge. Both community based services and acute services will identify management teams (replacing the previous Primary and Community Care Management Board (PCCMB) and Hospital Management Board (HMB)).</p> <p>These management teams feed up to a Health and Social Care Senior Management Team (H&SCSMT).</p> <p>The strategic plan and locality plans (2016 – 2019) are now approved. A full statement of consultation was published alongside the strategic plan.</p> <p>The planning cycle for the work on the 2019 – 2022 plan is anticipated to commence September/October 2017.</p> <p>Cultural diagnostic exercise completed February 2016; results currently being communicated within partner</p>

Audit Scotland Recommendations:	Reported to IJB Meeting 29 th January 2016. <i>Local response at demonstrating the position within Dumfries and Galloway on how we are or will be addressing these.</i>	Progress/Action Plan @ 14 July 2016
	<ul style="list-style-type: none"> The people agenda is at the heart of achieving strategic change, and the development of effective and aligned leadership skills and behaviours is crucial to success. Our cultural diagnostic work will support this by identifying the skills and behaviours required, and the areas for focus and change. We have already invested in a number of leadership development initiatives, and are investing in building our capacity and capability for business coaching to support leadership development across all of our partners. 	<p>organisations; existing and ideal cultures identified with recommendations for action planning; action plan under development will be presented to IJB 14 July 2016.</p> <p>Communication and rollout of the outcome of the cultural diagnostic across the partnership is underway.</p>
Set out clearly how governance arrangements will work in practice.	<ul style="list-style-type: none"> The Integration Scheme, prepared in accordance with the regulations and guidance which accompany the Act, provides details about the duties and responsibilities of the Parties (Dumfries and Galloway Council and NHS Dumfries and Galloway). It also describes what the IJB will do to deliver local health and social care services. Draft financial Regulations have been compiled setting out responsibilities, principals and policies for the following areas: <ul style="list-style-type: none"> Senior officers Financial Planning, including Strategic Planning, Resource Allocations, Funding Limits, Budgetary Control, Management Reporting and the treatment of spend variations The creation and use of financial reserves Financial Reporting 	<p>The Scheme of delegation, Clinical and Care Governance Committee and Audit and Risk Committee has been approved by the IJB. It has also been agreed that a further committee to cover Performance and Finance arrangements will be created. An update on this will be taken to the IJB in July 2016.</p> <p>The financial regulations remain in draft as work is ongoing on the budget setting process. This will be concluded by August and planned to be considered at the first Performance and Finance committee.</p> <p>Discussions are underway to agree arrangements for the Internal Audit function to develop an audit plan for September 2016.</p> <p>The External auditors are scheduled to undertake the audit</p>

Audit Scotland Recommendations:	Reported to IJB Meeting 29 th January 2016. <i>Local response at demonstrating the position within Dumfries and Galloway on how we are or will be addressing these.</i>	Progress/Action Plan @ 14 July 2016
	<ul style="list-style-type: none"> - Internal and External Audit - Risk Management - Capital Expenditure - Financial Risk - Financial Reserves Policy <ul style="list-style-type: none"> • Once these regulations have been reviewed and amended/ ratified they will be made publicly available. • Input into agreeing the processes and schemes of delegation as they align to current SFIs/SOs. • Agreement of appropriate scrutiny and delegation arrangements for Audit Committee. • Whilst it is envisaged that in the initial stages changes to the ordering and payment of goods and services will not change, clear and concise documentation will need to be provided in terms of Standing Financial Instructions (SFIs) and Standing Orders (SOs) so as to ensure due diligence and consistency in the fulfilment of duties (and to avoid duplication and inefficiencies do not creep into the system). • The establishment of a Governance and Delegation Workstream Lead by the Chief Officer with key senior managers will take this work forward, and will bring to the IJB a Scheme of Delegation and Standing Orders to be considered at the March meeting. 	<p>process for the IJB accounts for 2015/16.</p> <p>The governance and delegations workstream has progressed a range of work around the code of conduct, freedom of information, publication scheme etc.</p> <p>A risk management strategy has been drafted for the partnership, risk workshop with IJB members to review risk strategy, develop risk register and consider risk appetite in advance of formalising arrangements at the July IJB meeting. A further workshop is being organised through the Health and Social Care Management Team to review and finalise the corporate IJB risk register.</p>

Audit Scotland Recommendations:	Reported to IJB Meeting 29 th January 2016. <i>Local response at demonstrating the position within Dumfries and Galloway on how we are or will be addressing these.</i>	Progress/Action Plan @ 14 July 2016
<p>Ensure that a constructive working relationship exists between IJB members, Chief Officer, Chief Finance Officer and the public.</p>	<ul style="list-style-type: none"> • The workshop programme for IJB members, including Chief Officer and Chief Finance Officer has ensured, and will continue to ensure, that a strong working relationship can be developed between IJB members. • A report on the IJB's communications is being considered in another report on this agenda which confirms our comprehensive communications and engagement activities and actions. 	<p>Workshop Programme:</p> <p>Strategic Planning Workshop 16th February 2016 Vicky Freeman</p> <p>Delegated Functions/Integrated Services Workshop 28th April 2016 Graham Abrines and Locality Managers</p> <p>Cultural Diagnostic Output Workshop 29th April 2016 Caroline Sharp, Linda Davidson and Tony Burke (HSUK)</p> <p>Performance Management Framework Workshop 20th May 2016 Vicky Freeman</p> <p>Risk Management Workshop 10th June 2016 Maureen Stevenson, Richard Fox</p> <p>Delayed Discharges Workshop 29th June 2016 Gail Robertson and Patient Flow Coordinators</p> <p>Interface with Community Services Workshop 31st August 2016 Derek Crichton, Graham Abrines and Locality Managers</p>

Audit Scotland Recommendations:	Reported to IJB Meeting 29 th January 2016. <i>Local response at demonstrating the position within Dumfries and Galloway on how we are or will be addressing these.</i>	Progress/Action Plan @ 14 July 2016
		<p>Finance Workshop 17th August 2016 Katy Lewis</p> <p>New Hospital Project Workshop 18th October 2016 John Knox/ Campbell Craig</p> <p>Communications and Engagement Workshop 14th November 2016 Stuart Hamilton</p> <p>IDEAS Team Workshop 22nd December 2016 Denise Moffat, Lorraine Haining and the IDEAS Team</p> <p>A Communication and Engagement Manager for Health and Social Care was appointed on 9th May 2016 on a fixed term secondment from Dumfries and Galloway Council for a period of 12 months.</p> <p>The Partnership's vision to engage and consult with individuals, families, carers and communities is crucial in all that we do: listening to, and taking into account, their views, experiences and ideas which will help the Integration Joint Board to ensure that the design and delivery of services meet identified local needs and aspirations now and in the future.</p>

Audit Scotland Recommendations:	Reported to IJB Meeting 29 th January 2016. <i>Local response at demonstrating the position within Dumfries and Galloway on how we are or will be addressing these.</i>	Progress/Action Plan @ 14 July 2016
		<p>The Communication and Engagement Manager was appointed to lead around communications for the Integration Joint Board and the Health and Social Care Integration Programme, delivering efficient and effective communications and engagement support in line with the framework.</p> <p>The Communication and Engagement Manager is supported professionally by the Corporate Communication Teams in Dumfries and Galloway Council and NHS Dumfries and Galloway.</p> <p>Since the appointment the Communication and Engagement Manager has initiated and will continue to build effective working relationships with a wide range of staff across NHS Dumfries and Galloway, Dumfries and Galloway Council, Third and Independent Sectors, service users and other stakeholders. Providing communications and engagement support to a number of groups and networks working on tasks that have implications across the full range of integrated services, patients and service users and organisations locally and regionally.</p>

Audit Scotland Recommendations:	Reported to IJB Meeting 29 th January 2016. <i>Local response at demonstrating the position within Dumfries and Galloway on how we are or will be addressing these.</i>	Progress/Action Plan @ 14 July 2016
Demonstrate rigour and transparency regarding how decisions are taken and listening and acting on the outcome of constructive scrutiny.	<ul style="list-style-type: none"> The development of governance arrangements for the IJB will ensure clarity and transparency within the partnership. Dumfries and Galloway is currently undergoing a Joint Adult Services Inspection (Older People) whereby partners will be tested in terms of ability to react constructively to the Joint Inspection. We are confident that the findings will enable us to listen to and act appropriately on the outcomes. 	<p>Please see governance arrangements above.</p> <p>The final inspection report is due within the next month. In the interim an action plan has been developed and being progressed.</p> <p>A more detailed plan will be developed once the final report is received and the actions will be cross matched with each of the locality delivery plans to prevent duplication and ensure all actions are being addressed.</p>
Develop Strategic Plans that do more than set out the local context for the reforms.	<ul style="list-style-type: none"> In line with the recommendations within the Audit Scotland Report, the Strategic Plan reflects the different priorities and needs of local areas. In the main document key challenges across Dumfries and Galloway were identified by members of the Strategic Planning Group. These are considered within the context of each of the localities within each of the locality plans and any other key priorities specific to a particular locality added. The plan identifies and establishes 10 key areas of focus as a platform for action. Commitments against each of these ('we will' statements) are identified as a means of both driving the redesign and enabling the IJB to determine progress or otherwise with regard to the implementation of the plan. The key areas of focus and commitments will translate into operational action plans for each of the localities. Again providing the means of performance management. Supporting documents to the Strategic Plan and Locality 	<p>The strategic plan (2016 – 2019) is now approved. A full statement of consultation was published alongside the strategic plan.</p> <p>Work on the 2019 – 2022 plan anticipated to commence September/ October 2017.</p> <p>A strategic planning group for D&G has been established.</p>

Audit Scotland Recommendations:	Reported to IJB Meeting 29 th January 2016. <i>Local response at demonstrating the position within Dumfries and Galloway on how we are or will be addressing these.</i>	Progress/Action Plan @ 14 July 2016
	<p>Plans have been developed as an essential element of the strategic planning process to ensure that there is as much clarity and transparency as possible provided with regard to:</p> <ul style="list-style-type: none"> • Strategic needs data and analysis • Financial arrangements to support integration • Performance Management • Market Facilitation <ul style="list-style-type: none"> • Additionally, plans are in place to develop an integrated workforce plan that will set out the staffing resource available and required to ensure full implementation of the Strategic Plan. Work is also ongoing within other workstreams to address other identified key areas of work such as data sharing, risk management, etc. • There is clarity within the Strategic Plan provided by a summary table on page, setting out the linkage between the nine national outcomes, local priority areas of focus and our commitments against these. This linkage is carried through further into Part Two of the plan (Annex 5) where the commitments are then linked directly to performance measures where these exist. This part of the plan also highlights the gaps in performance measures where currently, they do not exist. • There is also clear linkage between the Strategic Plan and the Locality Plans. Again, this is demonstrated linking 	

Audit Scotland Recommendations:	Reported to IJB Meeting 29 th January 2016. <i>Local response at demonstrating the position within Dumfries and Galloway on how we are or will be addressing these.</i>	Progress/Action Plan @ 14 July 2016
	actions at a locality level with the 10 priority areas of focus contained within the strategic plan.	
Develop financial plans that clearly show how Integrated Authorities will use resources such as money and staff to provide more community based and preventative services.	<ul style="list-style-type: none"> Financial Plans are currently being updated and agreed by both the Local Authority and Health Board to reach final agreement on resources to be delegated to the Integration Joint Board in the light of the recent spending review as advised by the Scottish Government in December 2016. The Integration Scheme summarises of how the budgets will be agreed in 2016-17, building upon the agreed integrated budget for 2015-16. Additional resources provided through the Integrated Care Fund, Additional Resources for Social Care and delayed discharge will be allocated through the Integration Joint Board and will be targeted toward priorities identified in the Strategic and Locality Plans which will align with the ambition to invest in non acute services to support the shift in resources to primary and community care. 	<p>The financial plan for the IJB was agreed at its meeting on the 31st May, this included agreeing arrangements for reporting and monitoring of the financial performance for the IJB with a month 2 financial report planned to be presented to the July meeting.</p> <p>Work is ongoing to develop the analyses of financial data as part of the Integrated Resource Framework information now available through the Hand Social Care Integrated Data set. This is in partnership with Information Services Division who are providing the analytical support.</p> <p>Plans for allocation of the additional resources are currently being developed by the Chief Officer to align with the priorities identified through the strategic and locality plans, with additional resources made available during 2016/17 to allow the localities to continue with some of the projects which commenced in 2015/16.</p>
Shift resources, including workforce,	We will provide structure and methodology for service based workforce planning and will support the change of emphasis	<ul style="list-style-type: none"> Integrated Workforce Plan Cultural Diagnostic

Audit Scotland Recommendations:	Reported to IJB Meeting 29 th January 2016. <i>Local response at demonstrating the position within Dumfries and Galloway on how we are or will be addressing these.</i>	Progress/Action Plan @ 14 July 2016
towards a more preventative and community based approach; it is important that the Integrated Authority also has plans that set out how, in practical terms, they will achieve this shift over time.	through the development and delivery of our integrated workforce plan, and through the output from our cultural diagnostic work, which will identify the skills, attitudes and behaviours we will need to develop in the future to achieve this over time. This work will align and support the professional and general management and leadership of the services and the workforce changes required.	Completed and published first Integrated Workforce Plan with recommendations for delivery. The plan emphasises the need for cross partner data sets which are now a key focus for our next phase of workforce planning and development. Cultural diagnostic work has identified behaviours and habits which will support better integrated working.
Ensure clarity with regard to how progress against short, medium and long term outcomes at all levels will be measured and monitored.	<ul style="list-style-type: none"> • We are currently developing our priorities which are in the current draft of the Strategic Plan and we recognise that there is considerable work still needing to be undertaken to be clear on identifying our short, medium and long term outcomes. • A Strategic Plan workshop for the IJB is scheduled to take place on 16 February 2016 and as a result of this workshop we will be able to refine the Performance Framework. 	<ul style="list-style-type: none"> • A lead for performance management has been identified. • A performance management group to continue to take this work forward is established. • We are currently developing arrangements for performance management based on the framework outlined within Part 2 of the strategic plan. • A flow chart for performance reporting has been drafted. • A template for reporting quarterly performance information to the IJB has also been drafted. • A performance management workshop for the IJB is took place on 20th May2016 and as a result of this

Audit Scotland Recommendations:	Reported to IJB Meeting 29 th January 2016. <i>Local response at demonstrating the position within Dumfries and Galloway on how we are or will be addressing these.</i>	Progress/Action Plan @ 14 July 2016
		workshop we will be able to progress the arrangements for performance management further.
Set out clear targets and timescales that show how they will make a difference to people who use health and social care services by April 2016	<ul style="list-style-type: none"> The Strategic Plan sets out our key priorities in relation to the 9 national outcomes, 23 indicators and a number of local targets. We recognise this is an area that needs further development and will be working within localities to identify the targets and timescales within an operational/delivery plan along with a robust method of capturing and evidencing our findings. It is proposed that the Chief Officer will provide a progress report on the position in Dumfries and Galloway relating to the Audit Scotland recommendations at the 14 July 2016 IJB meeting. 	<ul style="list-style-type: none"> A formal paper on performance management will be submitted to the IJB for approval in July 2016 It is anticipated that the first quarterly performance management report will be submitted to the IJB in September 2016 (reporting period 1st April 2016 – 30th June 2016) Work to develop locality indicators has commenced.

<p>Audit Scotland Report: Changing Models of Health and Social Care – Recommendations</p> <p>Published March 2016</p>	<p>Progress Action Plan @ 14 July 2016</p>
<p>NHS Boards and Local Authorities should work with Integration Authorities during their first year of Integration to:</p>	
<ul style="list-style-type: none"> • Carry out a shared analysis of local needs, and use this as a basis to inform their plans to redesign local services, drawing on learning from established good practice. 	<ul style="list-style-type: none"> • Localities have developed their 3 year locality plans and are also finalising their year 1 delivery plan to deliver on their “we will commitments”. • The locality delivery plans continue to be developed with support from the locality development groups consisting of individuals from health, social care, third and the independent sector and carer/public reps. • Localities are undertaking a review of the various good practices from the integrated care fund and the “reshaping care for older people programme – PYF” to embed this good practice within their design of local services. • Localities are reviewing their ‘assets’ available to them for use in remodelling. • Completed locality delivery plans will be reviewed jointly to identify common themes and opportunities to undertake a regional joined up approach to designing services. • Regional priorities are being identified and will be led by the Locality Managers, areas will focus on prevention and early intervention, urgent care & support and long term care/support and management. • Localities are drawing on learning from across Scotland and internationally. They are looking at opportunities to develop different models such as “One team, Advanced Nurse Practitioners, GP clusters, Cottage hospitals, Anticipatory Care Plans/Forward Looking, step up down care, Buurzorg principles”. This work will be led and co-ordinated by the Locality Managers.
<ul style="list-style-type: none"> • Ensure new ways of working, based on good practice from elsewhere, are implemented in their own areas to 	<ul style="list-style-type: none"> • Working across the partnership, priority areas of work will be identified to develop new ways of working. These areas will be led by Locality managers supported by appropriate teams. • Localities are exploring and working at a national level to introduce different models of working

<p>Audit Scotland Report: Changing Models of Health and Social Care – Recommendations</p> <p>Published March 2016</p>	<p>Progress Action Plan @ 14 July 2016</p>
<p>NHS Boards and Local Authorities should work with Integration Authorities during their first year of Integration to:</p>	
<p>overcome some of the barriers to introducing new care models.</p>	<p>within these lead areas. Examples of work being taken forward to date include:</p> <ul style="list-style-type: none"> • Enhanced community care models - such as Buurtzorg Model/One team model, GP Clusters; • Community preventative approaches – such as Link worker, social prescribing, anticipatory care planning/forward looking care; • Intermediate care models – such as step up step down and re-ablement. • Better access to primary care/routine hospital treatment such as the development of the Advance Nurse Practitioner, using low level technology to prevent hospital admission known as the Community Respiratory Early Warning System • Opportunity to build on the telehealth and telecare test of change through PYF and look to develop a programme of technology enable care for the partnership • The partnership will also look to identify new models of care that will support transformational change across the system.
<ul style="list-style-type: none"> • Move away from short-term, small scale approaches towards a longer-term approach to implementing new care models. They should do this by making the necessary changes to funding and the workforce, making best use of local data and intelligence, and ensuring that they properly implement and evaluate the new models. 	<ul style="list-style-type: none"> • Locality Managers will be leading on different priority areas which will identify ways to develop longer term approaches to new models and different ways of working – as identified above. • The findings from the cultural and diagnostic survey will be undertaken and opportunities for the localities to make improvement so the workforce will be undertaken. • The integrated workforce plan has been developed and localities are supporting this approach and will be developing the workforce at a locality level to support new ways of working. E.g. a review of the NHS administration teams is currently being undertaken including the independent sector skills analysis. • Development of a locality dashboard, to ensure local data is available to inform robust decision making. • Stronger links at a locality level and regional transformation programmes with both information

<p>Audit Scotland Report: Changing Models of Health and Social Care – Recommendations</p> <p>Published March 2016</p>	<p>Progress Action Plan @ 14 July 2016</p>
<p>NHS Boards and Local Authorities should work with Integration Authorities during their first year of Integration to:</p>	
	<p>teams and health intelligence is being developed to ensure appropriate data is available or being developed.</p>
<ul style="list-style-type: none"> • Ensure, when they are implementing new models of care, that they identify appropriate performance measures from the outset and track costs, savings and outcomes. 	<ul style="list-style-type: none"> • A performance management framework is being developed which will link to the strategic plan, locality plans and the locality delivery plans. • Leads are ensuring that performance measures are included in the design of new services/models. • Outcome measures are being identified as part of the redesign of new models of care and evaluated to see if these outcomes have been achieved. • Costing of models are included and where appropriate savings are being identified as part of the process.
<ul style="list-style-type: none"> • Ensure clear principles are following for implementing new care models. 	<ul style="list-style-type: none"> • New models will support the regional priorities identified in the strategic plan and also support delivery of the 9 National Outcomes. These will also be aligned to the commitments in the 4 locality plans and associated delivery plans. • Governance systems in place around identification of risks and mitigating actions. • The new models will be based on the principals of planning, implementing, monitoring and reviewing. These will be supported by clear business plans detailing timescales, resources, costs, estimated savings and efficiencies, risk, plans to pilot and scale up, ensuring sustainable methods for evaluating and measuring impact. Options for shifting resource and building community capacity will also be considered.