



# **Health and Social Care Integration Scheme for Aberdeen City**

**April 2024**

This document is also available in large print and other formats and languages, upon request. Please call NHS Grampian Corporate Communications on (01224) 551116 or (01224) 552245.

## **Document Control**

<b>Issue/ Amendment</b>	<b>Date(s)</b>	<b>Pages Amended</b>
v.1	March 2015	All
v.2	January/February 2018	All
v.3	April 2018	Highlight Removed/PDF created
v.4	April 2023	Full review
v.5	April 2024	Comments from SG incorporated
<b>Next due for review March 2029</b>		

## 1. Introduction

The Public Bodies (Joint Working) (Scotland) Act 2014 provides a framework for the effective integration of adult health and social care services. Its policy ambition is to:

“...improve the quality and consistency of services for patients, carers, service users and their families; to provide seamless, joined-up quality health and social care services in order to care for people in their own homes or a homely setting where it is safe to do so; and to ensure resources are used effectively and efficiently to deliver services that meet the increasing number of people with longer term and often complex needs, many of whom are older.”

To realise this ambition, the Aberdeen City Health and Social Care Partnership (“the Partnership”) has been established as an “Integration Authority” with a remit to engage with the people who use our services, their carers, our workforce, the third and independent sectors and community representatives in the planning and delivery of integrated adult health and social care services that will make a positive difference to the health and wellbeing of our City’s population.

## 2. Aims and Outcomes of the Integration Scheme

Grampian Health Board and the Aberdeen City Council have a strong and shared sense of commitment and motivation to work closely with the residents and communities of Aberdeen to deliver good quality, person centred integrated health and social care services.

This commitment is reflected in the Partnership’s vision “***A caring partnership working together with our city communities to enable people to achieve fulfilling and healthier lives and wellbeing***”.

The underpinning values that will inform the Partnership’s approach to planning and service delivery are:

- Honesty;
- Empathy;
- Equity;
- Respect; and
- Transparency.

The parent bodies are required to take into account the integration principles when preparing this Integration Scheme. These principles clearly state that the main purpose of integrated services is to improve the wellbeing of service users and these services should be provided in a way in which, so far as possible:

- Is integrated from the point of view from recipients;
- Takes account of the particular needs of different recipients;
- Takes account of the particular needs of recipients from different parts of the area in which the service is being provided;
- Takes account of the particular characteristics and circumstances of different service users;
- Respects the rights of service users;
- Takes account of the dignity of service users;
- Takes account of the participation by service users in the community in which service users live;
- Protects and improves the safety of service users;
- Improves the quality of the service;
- Is planned and led locally in a way which is engaged with the community (including in particular service users, those who look after service users and those who are involved in the provision of health or social care);
- Best anticipates needs and prevents them arising; and
- Makes the best use of the available facilities, people and other resources.

The Partnership will be obliged to evidence how well the nine National Health and Wellbeing Outcomes are being met; these are:

1. People are able to look after and improve their own health and wellbeing and live in good health for longer.
2. People, including those with disabilities or long-term conditions or who are frail are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community.
3. People who use health and social care services have positive experiences of those services, and have their dignity respected.
4. Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.
5. Health and social care services contribute to reducing health inequalities.
6. 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.
7. People using health and social care services are safe from harm.
8. 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.
9. Resources are used effectively and efficiently in the provision of health and social care services.

## Integration Scheme

### The parties:

**THE ABERDEEN CITY COUNCIL**, established under the Local Government etc. (Scotland) Act 1994 and having its principal offices at Town House, Broad Street, Aberdeen AB10 1AQ (hereinafter referred to as “the Council” which expression shall include its statutory successors);

And

**GRAMPIAN HEALTH BOARD**, established under section 2(1) of the National Health Service (Scotland) Act 1978 (operating as “NHS Grampian”) and having its principal offices at Summerfield House, 2 Eday Road, Aberdeen AB15 6RE (hereinafter referred to as “NHS Grampian” which expression shall include its statutory successors)

(together referred to as “the Parties”, and each being referred to as a “Party”)

### 1. Definitions and Interpretation

1.1 In this “Integration Scheme”, the following terms shall have the following meanings: -

“Accountable Officer” means the NHS officer appointed in terms of section 15 of the Public Finance and Accountability (Scotland) Act 2000.

“The Act” means the Public Bodies (Joint Working) (Scotland) Act 2014;

“Acute” services are those services specified in Annex 4 of this Scheme.

“Chief Officer” means the Officer appointed by the Integration Joint Board in accordance with section 10 of the Act.

“Delegated Services” means the functions and services listed in Annexes 1 and 2 of this Scheme.

“Direction” means an instruction from the Integration Joint Board in accordance with section 26 of the Act.

“IJB” means the Aberdeen City Integration Joint Board established by Order under section 9 of the Act.

“IJB Order” means the Public Bodies (Joint Working) (Integration Joint Boards) (Scotland) Order 2014.

“Integrated Budget” means the Budget for the delegated resources for the functions set out in the Scheme.

“National Outcomes” means the Health and Wellbeing Outcomes prescribed by the Scottish Ministers in Regulations under section 5(1) of the Act and are those listed on Page 4 of this Scheme.

“NHS” means the National Health Service in Scotland as established by the National Health Service (Scotland) Act 1978.

“Non-delegated Services” means all services that do not fall under the definition “Delegated Services”.

“Payment” means all of the following:

- a) the Integrated Budget contribution to the Integration Joint Board;
- b) the resources paid by the Integration Joint Board to the Parties for carrying out directions, in accordance with section 27 of the Act and
- c) does not require that a bank transaction is made;



“Section 95 Officer” means the statutory post under the Local Government (Scotland) Act 1973 being the Accountable (Proper) Officer for the administration and governance of the financial affairs of the Council.

“The Scheme” means this Integration Scheme.

and

“Strategic Plan” means the plan which the Integration Joint Board is required to prepare and implement in relation to the delegated provision of health and social care services to adults in accordance with section 29 of the Act;

1.2 In implementation of their obligations under the Act, the Parties hereby agree as follows:

1.3 In accordance with section 1(2) of the Act, the Parties agreed that the integration model set out in sections 1(4)(a) of the Act would be put in place for the IJB, namely the delegation of functions by the Parties to a body corporate that is to be established by Order under section 9 of the Act. The IJB was established by Parliamentary Order on 6 February 2016.

## **2. Local Governance Arrangements**

2.1 The remit of the IJB is to prepare and implement a Strategic Plan in relation to the provision of health and social care services to adults in its area in accordance with sections 29-39 of the Act.

## **3. Board Governance**

3.1 The arrangements for appointing the voting membership of the IJB in accordance with the IJB Order are as follows: -

3.1.1 The Council shall nominate four councillors: and

3.1.2 NHS Grampian shall nominate four health board members.

- 3.2 The voting membership of the IJB shall be appointed for a term of up to 3 years.
- 3.3 Provision for the disqualification, resignation and removal of voting members is set out in the IJB Order.
- 3.4 Whilst serving on the IJB its voting members carry out their functions under the Act on behalf of the IJB itself, and not as delegates of their respective Parties. Accurate record-keeping and minute-taking will be essential for transparency and accountability purposes.
- 3.5 The IJB is required to co-opt non-voting members to the IJB.
- 3.6 The non-voting membership of the IJB is set out in the IJB Order and includes (subject to any amendment of the IJB Order):
- a) the chief social work officer of the local authority;
  - b) the Chief Officer, appointed by the IJB;
  - c) the proper officer of the IJB appointed under section 95 of the Local Government (Scotland) Act 1973;
  - d) a registered medical practitioner whose name is included in the list of primary medical services performers prepared by the NHS Grampian in accordance with Regulations made under section 17P of the National Health Service (Scotland) Act 1978;
  - e) a registered nurse who is employed by NHS Grampian or by a person or body with which NHS Grampian has entered into a general medical services contract;
  - f) a registered medical practitioner employed by the Health Board and not providing primary medical services.

In addition, the following will be co-opted

- g) A Public Health Consultant employed by the NHS Board who shall be a non-voting member;

and at least one member of each of the following groups:

- h) staff of the constituent authorities engaged in the provision of services provided under integration functions;
- i) third sector bodies carrying out activities related to health or social care in the area of the local authority;
- j) service users residing in the area of the local authority; and
- k) persons providing unpaid care in the area of the local authority.

3.7 NHS Grampian will determine the non-voting representatives listed in d)-f) above, in terms of the IJB Order.

3.8 The arrangements for appointing the Chair and Vice Chair of the IJB are as follows:

3.8.1 The first Chair was nominated by the Council.

3.8.2 After the term of the first Chair came to an end, the Vice Chair became the next Chair and the outgoing Chair's organisation nominated the next Vice Chair, which the IJB appointed.

3.8.3 The term of the first Chair ended on 31 December 2016.

3.8.4 The second term of Chair began on 1 January 2017, with further terms of Chair beginning on the first day of January every two years thereafter.

#### **4. Delegation of Functions**

4.1 The functions that are to be delegated by NHS Grampian to the IJB are set out in Part 1 of Annex 1 and are subject to the exceptions and restrictions specified or referred to. The services to which these functions relate, which are currently provided by NHS Grampian, and which are to be integrated, are set out in Part 2 of Annex 1. For the avoidance of doubt, the functions listed in Part 1 of Annex 1 are delegated only in so far as they relate to the services listed in Part 2 of Annex 1 and there are certain services in respect of which functions are

delegated for all age groups and certain services in respect of which functions are delegated for all people over the age of 18 only.

- 4.2 The functions that are to be delegated by the Council to the IJB are set out in Part 1 of Annex 2 and are subject to the exceptions and restrictions specified or referred to. The services to which these functions relate, which are currently provided by the Council, and which are to be integrated, are set out in Part 2 of Annex 2. For the avoidance of doubt, the functions listed in Part 1 of Annex 2 are delegated only to the extent that they relate to the services listed in Part 2 of Annex 2 and are provided to persons of 18 years and over.
- 4.3 In the delegation of functions, the Parties recognise that they will require to work together and with, the IJB, to achieve the Outcomes. Through local management, the Parties will put arrangements in place to avoid fragmentation of services provided to persons under 18 years. In particular, the community health services for persons under 18 years of age set out in Part 3 of Annex 1 shall be operationally devolved by the Chief Executive of NHS Grampian to the Chief Officer of the IJB who will be responsible and accountable for the operational delivery and performance of these services.
- 4.4 In exercising its functions, the IJB must take into account the Parties' requirements to meet their respective statutory obligations, standards set by government and other organisational and service delivery standards set by the Parties. Apart from those functions delegated by virtue of this Scheme, the Parties retain their distinct statutory responsibilities and therefore also retain their formal decision-making roles.
- 4.5 In the delegation of functions, the Parties recognise that they will require to work together, and with the IJB to achieve the required Outcomes. To achieve these, the Parties will put appropriate arrangements in place that reflect the integration principles and ensure improved personal outcomes for the individuals who use the services.

- 4.6 The delegation of functions from the Parties to the IJB shall not affect the legality of any contract made between either of the Parties and any third party, which relates to the delivery of delegated or non-delegated services. The IJB shall be mindful of the Parties existing contracts and shall enter into a joint commissioning strategy with the Parties.
- 4.7 Some Delegated Services may be hosted by the IJB on behalf of other integration authorities, or some Delegated Services may be hosted by another integration authority on behalf of the IJB. The IJB will consider and agree the hosting arrangements.

## **5. Local Operational Delivery Arrangements**

- 5.1 The local operational arrangements agreed by the Parties are:
- 5.2 The responsibilities of the membership of the IJB in relation to monitoring and reporting on the delivery of Delegated Services on behalf of the Parties are as follows: -
- 5.2.1 The IJB is responsible for the planning of Delegated Services and achieves this through the Strategic Plan. It issues Directions to the Parties to deliver services in accordance with the Strategic Plan;
  - 5.2.2 The IJB will continue to monitor the performance of the delivery of Delegated Services using the Strategic Plan on an ongoing basis; and
  - 5.2.3 The Parties expect the IJB to develop a framework which provides a mechanism for assurance and monitoring of the management and delivery of integrated services. This will ensure appropriate use of resources and enable appropriate scrutiny of performance which the Parties will support.
- 5.3 The IJB makes decisions on matters of strategy, policy and the annual budget as well as having oversight of, and obtaining assurance on, the performance of Delegated Services, including services that it hosts but not including the health services listed in Annex 4 or services which are hosted by another integration

authority. NHS Grampian will be responsible for the operational oversight of the services listed in Annex 4 and already has in place an existing mechanism for the scrutiny and monitoring of delivery of these services. Appropriate links will be made between this structure and any governance framework to be put in place by the IJB in terms of paragraph 5.6 below.

- 5.4 The IJB will take decisions in respect of Delegated Services for which it has operational oversight.
- 5.5 The IJB shall ensure that resources are managed appropriately for the delivery of Delegated Services for which it has operational oversight, in implementation of the Strategic Plan.
- 5.6 The Parties expect the IJB to develop a governance framework to provide itself with a mechanism for assurance and monitoring of the management and delivery of integrated services. This will enable the scrutiny of performance and of appropriate use of resources. If required, the Parties will support the IJB in the development of this framework.
- 5.7 The IJB is responsible for the operational delivery of criminal justice services. The IJB is a statutory partner on the Community Justice Group.
- 5.8 The Chief Officer is accountable to the IJB for the planning and operational delivery of the Delegated Services and the outcomes they achieve. The Chief Officer will make decisions which, in their opinion, is required to discharge their responsibilities for the planning and operational delivery of these delegated services. The Parties acknowledge that the Chief Officer's role in operational delivery will represent an important means by which closer integration of services, in accordance with the integration delivery principles specified in the Act, can be achieved.
  - 5.8.1 The Chief Officer shall be accountable to the Parties in relation to the operational management of some of the Delegated Services and shall report to the Chief Executives of both Parties in this respect.

5.8.2 The Chief Officer shall work closely with those other persons who are responsible for operationally managing those services referred to in Part 2 of Annex 1 hereof which the Chief Officer is not directly responsible for, to ensure that the outcomes for the delivery of those services are achieved.

5.8.3 For the avoidance of doubt, the Chief Officer's role in operational delivery shall not displace:

- (a) the responsibilities of each Party regarding compliance with Directions issued by the IJB; or
- (b) the principle that each Party's governance arrangements must allow that Party to manage risks relating to service delivery.

5.9 For delegated Acute services that the IJB does not have operational oversight of, the IJB shall be responsible for the strategic planning of those services. The IJB shall monitor performance of those Delegated Services in terms of outcomes delivered via the Strategic Plan.

5.10 NHS Grampian and the Council will be responsible for the operational delivery of Delegated Services in implementation of Directions of the IJB.

5.11 The Parties shall provide such information as may be reasonably required by the Chief Officer, the IJB and the Strategic Planning Group to enable the planning, monitoring and delivery of Delegated Services.

5.12 NHS Grampian and the IJB will work together to ensure that the planning and delivery of integrated (and non-integrated) hospital services are consistent.

## **6. Corporate Support Services**

6.1 The Parties recognise that the IJB requires various corporate support services in order to fully discharge its duties under the Act.

- 6.2 The Parties shall identify, and may review, the corporate resources it requires, including the provision of any professional, technical or administrative services for the purpose of preparing a Strategic Plan and carrying out delegated functions. This assessment shall be made available to the Parties.
- 6.3 The Parties shall be responsible for ensuring that the IJB has provision of suitable resources for corporate support to allow it to fully discharge its duties under the Act.
- 6.4 The Parties and the IJB shall reach an agreement in respect of how these services will be provided to the IJB which will set out the details of the provision.
- 6.5 The Parties and the IJB will review the support services being provided on an annual basis to ensure that these are sufficient. The Parties and the IJB shall agree on the arrangements for future provision, including specifying how these requirements will be built into the IJB's annual budget setting and review process.

## **7 Support for Strategic Planning**

- 7.1 The Parties shall share with such other relevant integration authorities, the necessary activity and financial data for services, facilities or resources that relate to the planned use of services provided by those integration authorities for the users of adult health and social care services of Aberdeen City.
- 7.2 The Parties shall consult with the IJB on any plans to change service provision of non-delegated services which may have a resultant impact on the Strategic Plan.
- 7.3 The Strategic Plan is written for users of adult health and social care services within Aberdeen City. A number of individuals will receive services across a boundary of an integration authority. For example, a certain percentage of Aberdeenshire residents access General Practitioner primary care in Aberdeen City. NHS Grampian will provide support to enable the appropriate planning of



such services for these individuals. This shall be done in pursuance of the duty under s30 (3) of the Act.

## **8. Targets and Performance Measurement**

8.1 The Parties shall inform the IJB what performance targets and improvement measures it considers the IJB should take account of, in the planning and delivery of delegated functions for which responsibility should transfer exclusively to the IJB.

8.2 Where the responsibility for achieving the targets span Delegated Services and Non-delegated Services, the Parties and the IJB will work together to deliver these.

8.3 A set of shared principles for targets, measures and indicators known as a Performance Framework, will be maintained and agreed by the Parties and the IJB. This will take into account the Scottish Government's Guidance on the Outcomes and the associated core suite of indicators for integration.

8.4 The performance framework will be underpinned by the Outcomes and will drive change and improve effectiveness. The framework will be informed by an assessment of current performance arrangements and the development of a set of objectives which the framework is intended to achieve.

## **9. Clinical and Professional Governance**

### **9.1 Outcomes**

9.1.1 The IJB and the Parties will provide assurance on Outcomes through its clinical and professional governance arrangements.

9.1.2 The Parties and the IJB will have regard to the integration planning and delivery principles and will determine the clinical and professional governance assurances and information required by the IJB to inform the

development, monitoring and delivery of its Strategic Plan. The Parties will provide that assurance and information to the IJB.

## **9.2 General Clinical and Professional Governance Arrangements**

9.2.1 The Parties and the IJB are accountable for ensuring appropriate clinical and professional governance arrangements for their duties under the Act.

9.2.2 The Parties remain responsible for the clinical and professional governance of the services which the IJB has instructed the Parties to deliver.

9.2.3 The Parties remain responsible for the assurance of the quality and safety of services commissioned from the third and independent sectors in line with the requirements set out in the Strategic Plan.

9.2.4 The IJB will have regard to healthcare and social care governance, quality, aims, and risks when developing and agreeing its Strategic Plan and its corresponding Directions to the Parties. These risks may be identified by either of the Parties or the IJB and may include professional risks.

9.2.5 The Parties and the IJB will establish an agreed approach to measuring and reporting to the IJB on the quality of service delivery, organisational and individual care risks, the promotion of continuous improvement and ensuring that all professional and clinical standards, legislation, and guidance are met. This will be set out in a report to the IJB for it to approve.

## **9.3 Clinical and Professional Governance Framework**

9.3.1 NHS Grampian seeks assurance in the area of clinical governance, quality improvement and clinical risk from the NHS Grampian Clinical

Governance Committee, through a process of constructive challenge. The Clinical Governance Committee is responsible for demonstrating compliance with statutory requirements in relation to clinical governance, authorising an accurate and honest annual clinical governance statement and responding to scrutiny and improvement reports by external bodies such as Healthcare Improvement Scotland (or any successor). To achieve this, the Clinical Governance Committee oversees a governance framework including a strategy, annual work programme, infrastructure of governance groups and an annual report.

- 9.3.2 The Council is required by law to appoint a Chief Social Work Officer to oversee and make decisions in relation to specified social work services, some of which are delegated in relation to integration functions, and to report to and alert the Council and elected members of any matters of professional concern in the management and delivery of those functions. He or she has a duty to make an annual report to the Council in relation to the discharge of the role and responsibilities. The Chief Social Work Officer will be a non-voting member of the IJB. If required, he or she shall make an annual report to the IJB in relation to the aspects of his or her position which relate to the delivery of integrated functions. The Chief Social Work Officer will retain all of the statutory decision-making and advisory powers given by statute and guidance, and the Medical and Nursing Directors shall not be entitled to countermand or over-rule any decisions or instructions given by the Chief Social Work Officer in carrying out that statutory role.
- 9.3.3 External scrutiny is provided by the Care Inspectorate (Social Care and Social Work Improvement Scotland) (or any successor), which regulates, inspects, and supports improvement of adult social work and social care.
- 9.3.4 The Scottish Government's *Clinical and Care Governance Framework for Integrated Health and Social Care Services in Scotland, 2015* (or any updated version or replacement) outlines the proposed roles,

responsibilities and actions that will be required to ensure governance arrangements in support of the Act's integration planning and delivery principles and the required focus on improved Outcomes.

- 9.3.5 The IJB has established a Clinical and Care Governance Committee and a Risk, Audit and Performance Committee. The Clinical Care Governance Committee oversee the clinical and professional governance arrangements for integrated services and the Risk, Audit & Performance Committee oversee risk management, financial management, and service performance. It is chaired by a non-office bearing voting member of the IJB and the Chair will rotate between NHS Grampian and the Council. The Clinical Care Governance Committee is comprised of four members, two nominated by each partner. The Committee may also have additional members appointed by the IJB.
- 9.3.6 The role, remit and membership of the Clinical and Care Governance and the Risk, Audit & Performances Committees is set out in the IJB's terms of reference for each sub-committee which may be reviewed and amended by the IJB.
- 9.3.7 The Clinical and Care Governance and the Risk, Audit & Performance Committees will provide relevant advice and support to the IJB, the Strategic Planning Group, the Chief Officer and any professional groups established in localities as and when required. This can be done through the Chair of the Committees (or such other appropriate members) informing and advising the IJB, the Strategic Planning Group, the Chief Officer and any other Group, Committee, or locality of the IJB as and when required. The IJB and the Chief Officer shall also be able to obtain professional advice from the IJB non-voting membership of each committee.

## 9.4 Staff Governance

- 9.4.1 The Parties will ensure that staff working in integrated services have the right training and education required to deliver professional standards of care and meet any professional regulatory requirements.
- 9.4.2 The IJB and the Parties shall ensure that staff will be supported if they raise concerns relating to practice that endangers the safety of service users and other wrongdoing in line with local policies and regulatory requirements. There are three main Whistleblowing policies relevant to the IJB the National Whistleblowing Standards, the Council Whistleblowing Policy and the IJB's Whistleblowing Policy.

National Whistleblowing Standards have been produced by the Independent National Whistleblowing Officer's Department and came into effect on 1 April 2021. Whistleblowing Concerns can be raised by anyone who is (or has been) providing services for the NHS or working to provide services with NHS staff.

Aberdeen City Council Whistleblowing Policy -This policy applies to all employees and workers, including agency staff, workers who are self-employed, sub-contractors and workers employed by an outsourced contractor providing Council services.

IJB Whistleblowing Policy - This Policy relates to all IJB Members and Office Holders of the Board and is committed to dealing responsibly, openly and professionally with any genuine concerns held by staff of the Aberdeen City Health and Social Care Partnership, Members of the Board or Office Holders, encouraging them to report any concerns about wrongdoing or malpractice within the IJB, which they believe has occurred. The aim of this policy is to ensure that staff and Members are fully aware of the types of matters that they should report and the reporting procedure they should follow to raise any genuine concerns

about any possible wrongdoing or malpractice, at an early stage, without fear of penalty or victimisation.

9.4.3 Staff employed by NHS Grampian are bound to follow the NHS Staff Governance Standard. This Standard is recognised as being very laudable and the IJB will encourage it to be adopted for all staff involved in the delivery of Delegated Services. The Staff Governance Standard requires all NHS Boards to demonstrate that staff are:

- Well informed;
- Appropriately trained and developed;
- Involved in decisions which affect them;
- Treated fairly and consistently, with dignity and respect, in an environment where diversity is valued; and
- Provided with a continuously improving and safe working environment, promoting the health and wellbeing of staff, patients, and the wider community.

9.4.4 The Standard places a reciprocal duty on staff to:

- Keep themselves up to date with developments relevant to their job within the organisation;
- Commit to continuous personal and professional development;
- Adhere to the standards set by their regulatory bodies;
- Actively participate in discussions on issues that affect them either directly or via their trade union/professional organisation;
- Treat all staff and patients with dignity and respect while valuing diversity; and
- Ensure that their actions maintain and promote the health, safety and wellbeing of all staff, patients, and carers.

## **9.5 Interaction between the IJB, Strategic Planning Group and Localities**

9.5.1 Section 32 of the Public Bodies (Joint Working) (Scotland) Act 2014 requires an Integration Joint Board to establish a Strategic Planning

Group comprising of members from the Council, NHS Grampian, staff from integrated services, a person to represent the interests of each locality, and representatives of such groups of persons appearing to the Scottish Ministers to have an interest. The Strategic Planning Group ensures that key strategic, policy, performance and improvement decisions relating to integration functions are informed and co-developed by partners and the organisations and communities they represent.

9.5.2 The IJB have adopted joint Locality Planning arrangements with the Council. Each Locality has a Locality Empowerment Group “LEG” and a Priority Neighbourhood Partnership “PNP” supported jointly by integrated services staff and local authority staff. The LEGs and the PNPs are the main focus for consultation and engagement with the communities of Aberdeen and where Aberdeen City IJB aim to ensure integrated services are planned and led locally.

## **9.6 Professional Leadership**

9.6.1 The Act does not change the professional regulatory framework within which health and social care professionals work, or the established professional accountabilities that are currently in place within the NHS and local government. The Act through drawing together the planning and delivery of services aims to better support the delivery of improved outcomes for the individuals who receive care and support across health and social care.

9.6.2 Directors of Public Health, Medical Directors and Nursing Directors are ministerial appointments made through health boards to oversee systems of professional and clinical governance within NHS Grampian. Their professional responsibilities supersede their responsibilities to their employer. These Directors continue to hold responsibility for the actions of NHS Grampian clinical staff who deliver care through delegated/integrated services. They, in turn, continue to attend the NHS Grampian Clinical Governance Committee which oversees the clinical

governance arrangements of all services delivered by health care staff employed by NHS Grampian.

9.6.3 In addition to the Clinical and Care Governance Committee, advice can be provided to the IJB and the Strategic Planning Group through the Clinical Executive Directors of NHS Grampian and the Chief Social Work Officer of the Council on professional / workforce, clinical / care and social care / social work governance matters relating to the development, delivery, and monitoring of the Strategic Plan, including the development of integrated service arrangements. The professional leads of the Parties can provide advice and raise issues directly with the IJB either in writing or through the representatives that sit on the IJB. The IJB will respond in writing to these issues, where asked to do so by the Parties.

9.6.4 The key principles for professional leadership are as follows:

- Job descriptions will reflect the level of professional responsibility at all levels of the workforce explicitly;
- The IJB will name the clinical lead and ensure representation of professional representation and assurance from both health and social care. The Director of Public Health, the Executive Nurse Director and Medical Director will continue to have professional managerial responsibility;
- All service development and redesign will outline participation of professional leadership from the outset, and this will be evidenced in all IJB papers; and
- The effectiveness of the professional leadership principles will be reviewed annually.

## **10.1 Chief Officer**

10.1.1 The IJB shall appoint a Chief Officer in accordance with section 10 of the Act. The arrangements in relation to the Chief Officer agreed by the Parties are:



- 10.1.2 An interim Chief Officer may be appointed by arrangements made jointly by the Chief Executives of both Parties at the request of the IJB.
- 10.1.3 The Chief Officer will be responsible for the operational management of the Delegated Services. Further arrangements in relation to the Chief Officer's responsibilities for strategic planning and operational management are determined by the Parties and set out in a separate document, which the IJB may amend from time to time.
- 10.1.4 The Chief Officer will be responsible for the development and monitoring of operational plans which set out the mechanism for the delivery of the Strategic Plan. The Chief Officer may sub-delegate decision making powers that have been delegated by NHS Grampian and Aberdeen City Council where, in their opinion, it is appropriate and legitimate to do so.
- 10.1.5 The Chief Executive of NHS Grampian is the Accountable Officer for the delivery of the acute services that the IJB only has strategic planning responsibility for. The Chief Officer is accountable to the Chief Executive of NHS Grampian for the effective strategic planning of these services in line with current strategies or policies. NHS Grampian will agree with the IJB an appropriate performance and scrutiny framework to ensure that performance is delivered in line with strategic ambitions and national Outcomes.
- 10.1.6 The Chief Officer is a member of the appropriate senior/corporate management teams of NHS Grampian and the Council. This enables the Chief Officer to work closely with senior management of both Parties to carry out the functions of the IJB in accordance with the Strategic Plan.
- 10.1.7 The Chief Officer is line managed by and will report to the Chief Executive of the Council and the Chief Executive of NHS Grampian.
- 10.1.8 The Chief Officer will develop close working relationships with elected members of the Council and non-executive and executive NHS Grampian board members.

10.1.9 The Chief Officer will establish and maintain effective working relationships with a range of key stakeholders across NHS Grampian, the Council, the third and independent sectors, communities, service users and carers, the Scottish Government, trade unions and relevant professional organisations.

10.1.10 The Chief Officer will work with trade unions, staff side representatives and professional organisations to ensure a consistent approach to their continued involvement in the integration of health and social care.

10.2 NHS Grampian and the Council have established the post of Chief Operating Officer. The Chief Operating Officer shall support the Chief Officer of the IJB, be responsible for the strategic leadership of the Partnership and the delivery of the IJB's Strategic Plan. Further arrangements in relation to the Chief Operating Officer's responsibilities are determined by the Parties. Additionally, the Parties agree that the Chief Operating Officer shall act as Chief Officer, in the absence of the Chief Officer of the IJB, and that the IJB shall appoint the Chief Operating Officer in this capacity at the next meeting of the IJB, following the appointment of the Chief Operating Officer.

## **11. Workforce**

11.1 The arrangements in relation to their respective workforces agreed by the Parties are:

11.2 Staff engaged in the delivery of Delegated Services shall remain employed by their existing organisations on the date the IJB is established. If the roles of staff are to be transferred, the Parties will ensure that the principles of Transfer of Undertakings (Protection of Employment) will be adhered to. The Parties will develop an agreed process for this which will be set out in a separate document.

11.3 The IJB is planning to have a fully integrated management arrangement where it is recognised teams will have individuals reporting through a person employed by the other organisation. Both Parties are in agreement that staff employed by them will be subject to direction from a manager from the other organisation.

- 11.4 Both Parties have workforce plans, and as the integrated teams are developed, so the integrated workforce plan will follow. The joint workforce plan will relate to the development and support to be provided to the workforce who are employed in pursuance of integrated services and functions.
- 11.5 The joint workforce plan will cover the strategic organisational development outcomes of the Parties and the IJB, including workforce planning and development, and will support the workforce in the delivery of integrated services. The plan will cover staff communication, staff engagement, staff and team development, leadership development and the training needs for staff that will be responsible for managing integrated teams. This will encourage the development of a healthy organisational culture. The Parties will work together in developing this plan along with stakeholders. The latest revision of the workforce plan was presented to the IJB in August 2022 although further development is required. The plan will continue to be reviewed regularly through an agreed process to ensure that it takes account of the development needs of staff.

## **12. Finance**

### **12.1 Financial Governance**

- 12.1.1 Details of financial governance and financial regulations are contained in a separate document out with this Scheme.

### **12.2 Payments to the IJB – General**

- 12.2.1 The Payment made by each Party is not an actual cash transaction for the IJB. There will be a requirement for an actual cash transfer to be made between the Parties to reflect the difference between the Payment being made by a Party and the resources delegated by the IJB to that Party to deliver services. A final transfer will be made at the end of the

financial year on closure of the annual accounts of the IJB to reflect in-year budget adjustments agreed.

12.2.2 Resource Transfer – The existing resource transfer arrangements will cease upon establishment of the IJB and instead NHS Grampian will include the equivalent sum in its budget allocation to the IJB. The Council Payment to the IJB will accordingly be reduced to reflect this adjustment.

12.2.3 Value Added Tax “VAT” – the budget allocations made will reflect the respective VAT status and treatments of the Parties. In general terms budget allocations by the Council will be made net of tax to reflect its status as a Section 33 body in terms of the Value Added Tax Act 1994 and those made by NHS Grampian will be made gross of tax to reflect its status as a Section 41 body in terms of the Value Added Tax Act 1994.

### **12.3 Payments to the IJB**

12.3.1 The Payment that will be determined by each Party requires to be agreed in advance of the start of the financial year. Each Party agrees that the baseline Payment to the IJB for delegated functions will be formally advised to the IJB and the other Party by 28<sup>th</sup> February each year.

12.3.2 In subsequent years, the Chief Officer and the Chief Finance Officer of the IJB will develop a case for the Integrated Budget based on the Strategic Plan and present it to the Council and NHS Grampian for consideration as part of the annual budget setting process, in accordance with the timescales contained therein. The case should be evidence based with full transparency on its assumptions and analysis of changes, covering factors such as activity changes, cost inflation, efficiencies, legal requirements, transfers to / from the “set aside” budget for hospital services and equity of resource allocation.

12.3.3 The final Payment into the IJB will be agreed by the Parties in accordance with their own processes for budget setting.

12.3.4 Assuming 12.3.1 is complied with, the IJB will approve and provide direction to the Parties by 31<sup>st</sup> March each year regarding the functions that are being directed, how they are to be delivered and the resources to be used in delivery.

## **12.4 Method for determining the amount set aside for hospital services**

12.5.1 The IJB will be responsible for strategic planning, in partnership with the hospital sector, of those hospital services most commonly associated with the emergency care pathway.

12.5.2 The IJB and the hospital sector will agree a method for establishing the amount to be set aside for services that are delivered in a large hospital as part of the emergency care pathway which will show consumption by the residents of the IJB.

12.5.3 The method of establishing the set aside budget will take account of hospital activity data and cost information. Hospital activity data will reflect actual occupied bed day and admissions information, together with any planned changes in activity and case mix.

## **12.6 Financial Management of the IJB**

12.6.1 The Council will host the financial transactions specific to the IJB.

12.6.2 The IJB will appoint a Chief Finance Officer who will be accountable for the annual accounts preparation (including gaining the assurances required for the governance statement) and financial planning (including the financial section of the Strategic Plan) and will provide financial advice and support to the Chief Officer and the IJB. The Chief Finance Officer will also be responsible for the production of the annual financial statement in terms of section 39 of the Act.

- 12.6.3 As part of the process of preparing the annual accounts of the IJB the Chief Finance Officer of the IJB will be responsible for agreeing balances between the IJB and Parties at the end of the financial year and for agreeing details of transactions between the IJB and Parties during the financial year. The Chief Finance Officer of the IJB will also be responsible for provision of other information required by the Parties to complete their annual accounts including Group Accounts.
- 12.6.4 Recording of all financial information in respect of the integrated services will be in the financial ledger of the Party which is delivering the services on behalf of the IJB.
- 12.6.5 The Parties shall agree what financial administration agreements are required to enable the transactions for delegated functions (e.g., payment of suppliers, payment of staff, raising of invoices etc.) to be administered and financial reports to be provided to the Chief Finance Officer of the IJB.

## **12.7 Financial reporting to the IJB and the Chief Officer**

- 12.7.1 Financial reports for the IJB will be prepared by the Chief Finance Officer of the IJB. The format and frequency of the reports shall be agreed by the Parties and the IJB but will be at least on a quarterly basis. The Director of Finance of NHS Grampian and the Section 95 Officer of the Council will work with the Chief Finance Officer of the IJB to ensure that the information that is required to produce such reports can be provided.
- 12.7.2 To assist with the above the Parties will provide information to the Chief Finance Officer of the IJB regarding costs incurred by them on a quarterly basis for services directly managed by the IJB. Similarly, NHS Grampian will provide the IJB with information on use of the amounts set aside for hospital services. This information will focus on patient activity levels and not include unit costs; the frequency will be agreed with the IJB but will be at least quarterly.

The Chief Finance Officer of the IJB will agree a timetable for the preparation of the annual accounts in partnership with the Director of Finance of NHS Grampian and the Section 95 Officer of the Council.

12.7.3 In order to give assurance to the Parties that the delegated budgets are being used for their intended purposes, financial monitoring reports will be produced for the Parties in accordance with timetables to be agreed at the start of each financial year. The format of such reports to be agreed by the Director of Finance of NHS Grampian and the Section 95 Officer of the Council, in conjunction with the Chief Finance Officer of the IJB.

## **12.8 The process for addressing in year variations in the spending of the IJB**

### **12.8.1 Increases in Payment by Parties to the IJB**

The Parties may increase in-year the Payments to the IJB for the Delegated Services with the agreement of the IJB.

### **12.8.2 Reductions in Payment by Parties to the IJB**

12.8.2.1 The Parties do not expect to reduce the Payment to the IJB in-year unless there are exceptional circumstances resulting in significant unplanned costs for the Party. In such exceptional circumstances the following escalation process would be followed before any reduction to the in-year Payment to the IJB was agreed: -

- a) The Party would seek to manage the unplanned costs within its own resources, including the application of reserves where applicable;
- b) Each Party would need to approve any decision to seek to reduce the in-year Payment to the IJB; and

c) Any final decision would need to be agreed by the Chief Executives of both Parties and by the Chief Officer of the IJB and be ratified by the Parties and the IJB.

### **12.8.3 Variations to the planned Payments by the IJB**

12.8.3.1 The Chief Officer is expected to deliver the agreed outcomes within the total delegated resources of the IJB. Where a forecast overspend against an element of the operational budget emerges during the financial year, in the first instance it is expected that the Chief Officer, in conjunction with the Chief Finance Officer of the IJB, will agree corrective action with the IJB.

12.8.3.2 If this does not resolve the overspending issue then the Chief Officer, the Chief Finance Officer of the IJB and the Director of Finance of NHS Grampian and the Section 95 Officer of the Council must agree a recovery plan to balance the overspending budget.

### **12.8.4 IJB Overspend against Payments**

12.8.4.1 In the event that the recovery plan is unsuccessful and an overspend is evident at the year-end, uncommitted reserves held by the IJB, in line with the reserves policy, would firstly be used to address any overspend.

12.8.4.2 In the event that an overspend is evident following the application of reserves, the following arrangements will apply for addressing that overspend: -

12.8.4.3 In future years of the IJB, either:

a) A single Party may make an additional one-off Payment to the IJB;



or

b) The Parties may jointly make additional one-off Payments to the IJB in order to meet the overspend. The split of one-off Payments between Parties in this circumstance will be based on each Party's proportionate share of the baseline Payment to the IJB, regardless of in which arm of the operational budget the overspend has occurred in.

12.8.4.4 The recovery plan may include provision for the Parties to recover any such additional one-off Payments from their baseline Payment to the IJB in the next financial year.

12.8.4.5 The arrangement to be adopted will be agreed by the Parties.

#### **12.8.5 IJB underspend against Payments**

12.8.5.1 In the event of a forecast underspend the IJB will require to decide whether this results in a redetermination of Payment or whether surplus funds will contribute to the IJB's reserves.

12.8.5.2 The Chief Officer and Chief Finance Officer of the IJB will prepare a reserves policy for the IJB, which requires the approval of the IJB and the Director of Finance of NHS Grampian and the Section 95 Officer of the Council. The reserves policy will be reviewed on a periodic basis.

12.8.5.3 In the event of a return of funds to the Parties, the split of returned Payments between Parties will be based on each Party's proportionate share of the baseline Payment to the IJB, regardless of which arm of the operational budget the underspend occurred in.

## **12.8.6 Planned Changes in Large Hospital Services**

- 12.8.6.1 The IJB and the hospital sector will agree a methodology for the financial consequences of planned changes in capacity for set aside budgets in large hospital services.
- 12.8.6.2 Planned changes in capacity for large hospital services will be outlined in the IJB Strategic Plan. A financial plan (reflecting any planned capacity changes) will be developed and agreed that sets out the capacity and resource levels required for the set aside budget for the IJB and the hospital sector, for each year. The financial plan will take account of :-
- activity changes based on demographic change;
  - agreed activity changes from new interventions;
  - cost behaviour;
  - hospital efficiency and productivity targets; and
  - an agreed schedule for timing of additional resource / resource released.
- 12.8.6.3 The process for making adjustments to the set aside resource to reflect variances in performance against plan will be agreed by the IJB and NHS Grampian. Changes will not be made in year and any changes will be made by annual adjustments to the Strategic Plan of the IJB.

## **12.9 Capital**

### **12.9.1 The use of capital assets in relation to integration functions**

- 12.9.1.1 Ownership of capital assets will continue to sit with each Party and capital assets are not part of the Payment or “set aside”.

- 12.9.1.2 If the IJB decides to fund a new capital asset from revenue funds, then ownership of the resulting asset shall be determined by the Parties.
- 12.9.1.3 The Strategic Plan will drive the financial strategy and will provide the basis for the IJB to present proposals to the Parties to influence capital budgets and prioritisation.
- 12.9.1.4 A business case with a clear position on funding is required for any change to the use of existing assets or proposed use of new assets. The Chief Officer of the IJB is to develop business cases for capital investment for consideration by NHS Grampian and the Council as part of their respective capital planning processes.
- 12.9.1.5 The Chief Officer of the IJB will liaise with the relevant officer within each Party in respect of day-to-day asset related matters including any consolidation or relocation of operational teams.
- 12.9.1.6 It is anticipated that the Strategic Plan will outline medium term changes in the level of budget allocations for assets used by the IJB that will be acceptable to the Parties.
- 12.9.1.7 Any profits or loss on sale of an asset will be held by the Parties and not allocated to the IJB.
- 12.9.1.8 Depreciation budgets for assets used on delegated functions will continue to be held by each Party and not allocated to the IJB operations in scope.
- 12.9.1.9 The management of all other associated running costs (e.g. maintenance, insurance, repairs, rates, utilities) will be subject to local agreement between the Parties and the IJB.

### **13. Participation and Engagement**

- 13.1 A joint consultation on the Scheme took place before it was first put in place. Whenever the scheme is reviewed in future, there will be further joint consultation.
- 13.2 Media notifications will be issued for members of the public that reside within Aberdeen. Staff will be alerted to the proposed revisions to the scheme. An email address will be supplied for people to send their views.
- 13.3 The consultation draft Scheme will then be presented to NHS Grampian Board and elected members of the Council.
- 13.4 Principles endorsed by the Scottish Health Council and the National Standards for Community Engagement were agreed by the Parties and followed in respect of the consultation process, including the following:
- 13.4.1 It will be a genuine consultation exercise: the views of all participants are valued;
  - 13.4.2 It will be transparent: the results of the consultation exercise will be published;
  - 13.4.3 It will be an accessible consultation: the consultation documentation will be provided in a variety of formats;
  - 13.4.4 It will be led by the Chief Officer: the Chief Officer and the IJB will be answerable to the people of Aberdeen City in terms of the content of the Scheme; and
  - 13.4.5 It will be part of an on-going dialogue: the Scheme will establish the parameters of the future strategic plans of the IJB.
- 13.5 The stakeholders consulted in the development of this Scheme were:
- Health professionals;
  - Users of health care;

- Future users of health care;
- Carers of users of health care;
- Commercial providers of health care;
- Non-commercial providers of health care;
- Social care professionals;
- Users of social care;
- Future users of social care;
- Carers of users of social care;
- Commercial providers of social care;
- Non-commercial providers of social care;
- Staff of NHS Grampian and the Council who are not health professionals or social care professionals;
- Non-commercial providers of social housing;
- Third sector bodies carrying out activities related to health or social care; and
- Other local authorities operating with the area of NHS Grampian preparing an integration scheme.

13.6 The Parties enabled the IJB to develop a Communications and Engagement Strategy by providing appropriate resources and support. The Communications and Engagement Strategy ensures significant engagement with, and participation by, members of the public, representative groups and other organisations in relation to decisions about the carrying out of integration functions. The Parties encourage the IJB to access existing forums that the Parties have established, such as Public Partnership Forums, Community Councils, groups and other networks and stakeholder groups with an interest in health and social care.

#### **14. Information Sharing and Confidentiality**

14.1 The Parties have agreed to an appropriate information sharing accord for the sharing of information in relation to integrated services. The information sharing accord sets out the principles, policies, procedures, and management

strategies around which information sharing is carried out. It encapsulates national and legal requirements.

14.2 The Parties will work together to progress the specific arrangements, practical policies and procedures, designated responsibilities and any additional requirements for information sharing for any purpose connected with the preparation of an integration scheme, the preparation of a strategic plan or the carrying out of integration functions.

14.4 If the Parties consider that a further high-level accord or information sharing protocol is required, or if amendments are necessary to existing ones, they shall prepare these and make them available with their recommendation to the IJB in the first instance for comment.

14.5 If a new information sharing accord and/or procedures for information sharing are necessary, these will be agreed to by the Parties. Where the Parties agree that the arrangements for information sharing do not require the drafting of a new information sharing protocol, each Party shall confirm to its staff that the guidance in place is appropriate and up to date.

14.6 The information sharing accord may be amended or replaced by agreement of the Parties and the IJB.

14.7 The Parties will continue to develop information technology systems and procedures to enable information to be shared appropriately and effectively between the Parties and the IJB.

## **15. Complaints**

15.1 The Parties agree the following arrangements in respect of complaints:

15.2 Complaints should continue to be made to the Parties using the existing mechanisms.

- 15.3 Complaints can be made to the Parties through any member of staff providing integrated services. Complaints can be made in person, by telephone, by email, or in writing. On completion of the complaints procedure, complainants may ask for a review of the outcome. At the end of the complaints process, complainants are entitled to take their complaint to the Scottish Public Services Ombudsman (or any such successor). Where appropriate, complainants will also be advised of their right to complain to the Care Inspectorate (or any such successor).
- 15.4 The Parties shall communicate with each other in relation to any complaint which requires investigation or input from the other organisation.
- 15.5 The Chief Officer will have an overview of complaints made about Delegated Services and subsequent responses. Complaints about delegated services will be recorded and reported to the Chief Officer on a regular and agreed basis.
- 15.6 The Parties and the IJB shall develop a process for complaints against the IJB and the Chief Officer which will follow any Scottish Government Guidance and existing statutory complaints procedures which operate within the respective Parties.
- 15.7 The Parties and the IJB will use complaints as a valuable tool for improving services and to identify areas where further staff training may be of benefit.
- 15.8 The Parties and the IJB will ensure that all staff working in the provision of Delegated Services are familiar with the complaints procedures and that they can direct individuals to the appropriate complaints' procedures.
- 15.9 The complaints procedures developed and referred to, at clause 15.6 above will be clearly explained, well-publicised, accessible, will allow for timely recourse and will sign-post independent advocacy services.
- 15.10 The Parties and the IJB will aspire to have a streamlined process for complaints, to ensure that there is an integrated approach to the handling of the complaint from the complainer's perspective. When this is achieved, the Scheme will be amended using the procedure required by the Act.

15.11 In developing a streamlined process for complaints, the Parties shall ensure that all statutory requirements will continue to be met, including timescales for responding to complaints.

15.12 In developing a single complaints process, the IJB will endeavour to develop a uniform way to review unresolved complaints before signalling individuals to the appropriate statutory review authority.

## **16. Claims Handling, Liability & Indemnity**

16.1 The Parties and the IJB recognise that they could receive a claim arising from or which relates to the work undertaken on behalf of the IJB.

16.2 The Parties agree to ensure that any such claims are progressed quickly and in a manner which is equitable between them.

16.3 So far as reasonably practicable the normal common law and statutory rules relating to liability will apply.

16.4 Each party will assume responsibility for progressing and determining any claim which relates to any act or omission on the part of one of their employees.

16.5 Each party will assume responsibility for progressing and determining any claim which relates to any heritable property which is owned by them. If there are any heritable properties owned jointly by the Parties, further arrangements for liability will be agreed upon in consultation with insurers.

16.6 In the event of any claim against the IJB or in respect of which it is not clear which party should assume responsibility then the Chief Officer (or his/her representative) will liaise with the Chief Executives of the Parties (or their representatives) and determine which party should assume responsibility for progressing the claim.

16.7 If a claim is settled by either party, but it subsequently transpires that liability rested with the other party, then that party shall indemnify the party which settled the claim.



- 16.8 Claims regarding policy and/or strategic decisions made by the IJB shall be the responsibility of the IJB. The IJB may require to engage independent legal advice for such claims.
- 16.9 If a claim has a “cross boundary” element whereby it relates to another integration authority area, the Chief Officers of the integration authorities concerned shall liaise with each other until an agreement is reached as to how the claim should be progressed and determined.
- 16.10 The IJB will develop a procedure for claims relating to hosted services with the other relevant integration authorities. Such claims may follow a different procedure than as set out above.
- 16.11 Claims which pre-date the establishment of the IJB will be dealt with by the Parties through the procedures used by them prior to integration.

## **17. Risk Management**

- 17.1 A shared risk management strategy is in place which includes risk monitoring and a reporting process for the Parties and the IJB. This will be updated as needed and particularly when this scheme is revised, and any additional functions delegated so that it is updated by the time such functions are delegated to the IJB. In developing this shared risk management strategy, the Parties reviewed the shared risk management arrangements in operation, including the Parties’ own Risk Registers.
- 17.2 There will be shared risk management across the Parties and the IJB for significant risks that impact on integrated service provision. The Parties and the IJB will consider these risks as a matter of course and notify each other where the risks may have changed.
- 17.3 The Parties will provide the IJB with support, guidance and advice through their respective Risk Managers, in order to be reassured that the IJB’s Risk Register is credible and appropriate.

- 17.4 A single strategic risk register has been developed for the IJB. The process used in developing a single risk register involved members of the IJB establishing a risk framework by identifying risks to the development of the Strategic Plan. This risk framework in turn was used by operational units of integrated services and each unit was required to contribute towards the risk register by identifying relevant risks and mitigation of those risks.
- 17.5 The single Risk Register will continue to be developed alongside the Strategic Plan and will be modified as necessary in line with the development of the Strategic Plan. The single Risk Register will be completed and available to the IJB for the date functions are delegated to the IJB.
- 17.6 Any changes to risk management strategies shall be requested through formal paper to the IJB.

## **18. Dispute resolution mechanism**

- 18.1 This provision relates to disputes between NHS Grampian and the Council in respect of the IJB or in respect of their duties under the Act. This provision does not apply to internal disputes within the IJB itself.
- 18.2 Where either of the Parties fails to agree with the other on any issue related to this Scheme and/or the delivery of delegated health and social care services, then they will follow the process as set out below:

(a) The Chief Executives of NHS Grampian and the Council and the Chief Officer of the IJB will meet to resolve the issue.

(b) If unresolved, NHS Grampian and the Council and the IJB will each prepare a written note of their position on the issue and exchange it with the others within 21 calendar days of the meeting in (a).

(c) Within 21 calendar days of the exchange of written notes in (b) the Chief Executives and Chief Officer must meet to discuss the written positions.

(d) In the event that the issue remains unresolved, the Chief Executives and the Chief Officer will proceed to mediation with a view to resolving the issue. The Chief Officer will appoint a professional independent mediator. The cost of mediation, if any, will be split equally between the Parties. The mediation process will commence within 28 calendar days of the meeting in (c).

(e) Where the issue remains unresolved after following the processes outlined in (a)-(d) above and if mediation does not allow an agreement to be reached within 6 months from its commencement, or any other such time as the parties may agree, either party may notify Scottish Ministers that agreement cannot be reached.

(f) Where the Scottish Ministers make a determination on the dispute, that determination shall be final and the Parties and the IJB shall be bound by the determination.

## Annex 1

### Part 1

#### Functions delegated by the Health Board to the Integration Joint Board

The functions which are to be delegated by NHS Grampian to the Integration Joint Board are set out in this Part 1 of Annex 1 and are subject to the exceptions and restrictions specified or referred to. The services to which these functions relate are set out in Part 2 of this Annex 1.

Schedule 1 Regulation 3

Functions prescribed for the purposes of section 1(8) of the Act

<i>Column A</i>	<i>Column B</i>
<b>The National Health Service (Scotland) Act 1978</b> All functions of Health Boards conferred by, or by virtue of, the National Health Service (Scotland) Act 1978	Except functions conferred by or by virtue of— section 2(7) (Health Boards); section 2CB (Functions of Health Boards outside Scotland); section 9 (local consultative committees); section 17A (NHS Contracts); section 17C (personal medical or dental services); section 17I (use of accommodation); section 17J (Health Boards' power to enter into general medical services contracts); section 28A (remuneration for Part II services); section 38 (care of mothers and young children); section 38A (breastfeeding); section 39 (medical and dental inspection, supervision and treatment of pupils and young persons); section 48 (provision of residential and practice accommodation);

section 55 (hospital accommodation on part payment);

section 57 (accommodation and services for private patients);

section 64 (permission for use of facilities in private practice);

section 75A (remission and repayment of charges and payment of travelling expenses);

section 75B (reimbursement of the cost of services provided in another EEA state);

section 75BA (reimbursement of the cost of services provided in another EEA state where expenditure is incurred on or after 25 October 2013);

section 79 (purchase of land and moveable property);

section 82 use and administration of certain endowments and other property held by Health Boards);

section 83 (power of Health Boards and local health councils to hold property on trust);

section 84A (power to raise money, etc., by appeals, collections etc.);

section 86 (accounts of Health Boards and the Agency);

section 88 (payment of allowances and remuneration to members of certain bodies connected with the health services);

section 98 (charges in respect of non-residents); and

paragraphs 4, 5, 11A and 13 of Schedule 1 to the Act (Health Boards);

and functions conferred by—

The National Health Service (Charges to Overseas Visitors) (Scotland) Regulations 1989;

The Health Boards (Membership and Procedure) (Scotland) Regulations 2001;

The National Health Service (Clinical Negligence and Other Risks Indemnity Scheme) (Scotland) Regulations 2000;

The National Health Services (Primary Medical Services Performers Lists) (Scotland) Regulations 2004;

The National Health Service (Primary Medical Services Section 17C Agreements) (Scotland) Regulations 2018;

The National Health Service (Discipline Committees) Regulations 2006;

The National Health Service (General Ophthalmic Services) (Scotland) Regulations 2006;

The National Health Service (Pharmaceutical Services) (Scotland) Regulations 2009;

The National Health Service (General Dental Services) (Scotland) Regulations 2010; and

The National Health Service (Free Prescription and Charges for Drugs and Appliances) (Scotland) Regulations 2011

### **Disabled Persons (Services, Consultation and Representation) Act 1986**

Section 7

(Persons discharged from hospital)

### **Community Care and Health (Scotland) Act 2002**

All functions of Health Boards conferred by, or by virtue of, the Community Care and Health (Scotland) Act 2002.

### **Mental Health (Care and Treatment) (Scotland) Act 2003**

All functions of Health Boards conferred by, or by virtue of, the Mental Health (Care and Treatment) (Scotland) Act 2003.

Except functions conferred by—  
section 22 (Approved medical practitioners);

section 34 (Inquiries under section 33: co-operation)

section 38 (Duties on hospital managers: examination notification etc.);

section 46 (Hospital managers' duties: notification);

section 124 (Transfer to other hospital);

section 228 (Request for assessment of needs: duty on local authorities and Health Boards);  
section 230 (Appointment of a patient's responsible medical officer);  
section 260 (Provision of information to patients);  
section 264 (Detention in conditions of excessive security: state hospitals);  
section 267 (Orders under sections 264 to 266: recall);  
section 281 (Correspondence of certain persons detained in hospital);

and functions conferred by—

The Mental Health (Safety and Security) (Scotland) Regulations 2005;

The Mental Health (Cross Border transfer: patients subject to detention requirement or otherwise in hospital) (Scotland) Regulations 2005;

The Mental Health (Use of Telephones) (Scotland) Regulations 2005; and

The Mental Health (England and Wales Cross border transfer: patients subject to detention requirement or otherwise in hospital) (Scotland) Regulations 2008.

### **Education (Additional Support for Learning) (Scotland) Act 2004**

Section 23

(other agencies etc. to help in exercise of functions under this Act)

### **Public Services Reform (Scotland) Act 2010**

All functions of Health Boards conferred by, or by virtue of, the Public Services Reform (Scotland) Act 2010

Except functions conferred by—

section 31(Public functions: duties to provide information on certain expenditure etc.); and

section 32 (Public functions: duty to provide information on exercise of functions).

## **Patient Rights (Scotland) Act 2011**

All functions of Health Boards conferred by, or by virtue of, the Patient Rights (Scotland) Act 2011

Except functions conferred by The Patient Rights (Complaints Procedure and Consequential Provisions) (Scotland) Regulations 2012.

Carers (Scotland) Act 2016

Section 31

(Duty to prepare local carer strategy)

---



## **Part 2**

### **Services currently provided by the Health Board which are to be delegated**

#### **Interpretation of this Part 2 Annex 1**

##### **A**

#### **Interpretation of Schedule 3**

**1.** In this Part—

“Allied Health Professional” means a person registered as an allied health professional with the Health Professions Council;

“general medical practitioner” means a medical practitioner whose name is included in the General Practitioner Register kept by the General Medical Council;

“general medical services contract” means a contract under section 17J of the National Health Service (Scotland) Act 1978;

“hospital” has the meaning given by section 108(1) of the National Health Service (Scotland) Act 1978;

“inpatient hospital services” means any health care service provided to a patient who has been admitted to a hospital and is required to remain in that hospital overnight, but does not include any secure forensic mental health services;

“out of hours period” has the same meaning as in regulation 3 of the National Health Service (General Medical Services Contracts) (Scotland) Regulations 2018; and

“the public dental service” means services provided by dentists and dental staff employed by a health board under the public dental service contract.

## B

### **Provision for people over the age of 18**

*The functions listed in Part 1 of this Annex 1 are delegated only to the extent that:*

*a) the function is exercisable in relation to persons of at least 18 years of age;*  
*b) the function is exercisable in relation to care or treatment provided by health professionals for the purpose of health care services listed at numbers 2 to 7 below;*  
*and*

*c) the function is exercisable in relation to the following health services*

2. Accident and Emergency services provided in a hospital.
3. Inpatient hospital services relating to the following branches of medicine—
  - (a) general medicine.
  - (b) geriatric medicine.
  - (c) rehabilitation medicine;
  - (d) respiratory medicine; and
  - (e) psychiatry of learning disability.
4. Palliative care services provided in a hospital.
5. Inpatient hospital services provided by General Medical Practitioners.
6. Services provided in a hospital in relation to an addiction or dependence on any substance.
7. Mental health services, including –
  - (a) Inpatient and specialist services at the Royal Cornhill Hospital
  - (b) Inpatient and specialist services at Elmwood at Royal Cornhill Hospital
  - (c) Residential Community Rehabilitation Service at Polmuir Road
  - (d) Residential Forensic Community Rehabilitation Facility at Great
  - (e) Western Lodge
  - (f) Psychotherapy (outpatient)
  - (g) Eating Disorder Service (outpatient)
  - (h) Eden Unit (North of Scotland)
  - (i) Managed Clinical Network for Eating Disorders
  - (j) Adult Liaison Psychiatry Service
  - (k) Older Adult Liaison Psychiatry Service
  - (l) Unscheduled Care
  - (m) Rehabilitation Services (outpatient) for Adult Mental Health
  - (n) Forensic Services
  - (o) Perinatal Services
  - (p) Gender Identity Services
  - (q) Child and Adolescent Mental Health Service
  - (r) Business and Support Management Services across inpatient and specialist services
  - (s) Psychiatry of learning disability

8. District nursing services.
9. Services provided outwith a hospital in relation to an addiction or dependence on any substance.
10. Services provided by allied health professionals in an outpatient department, clinic, or outwith a hospital.
11. The public dental service.
12. Primary medical services provided under a general medical services contract, and arrangements for the provision of services made under section 17C of the National Health Service (Scotland) Act 1978, or an arrangement made in pursuance of section 2C(2) of the National Health Service (Scotland) Act 1978.
13. General dental services provided under arrangements made in pursuance of section 25 of the National Health (Scotland) Act 1978.
14. Ophthalmic services provided under arrangements made in pursuance of section 17AA or section 26 of the National Health Service (Scotland) Act 1978.
15. Pharmaceutical services and additional pharmaceutical services provided under arrangements made in pursuance of sections 27 and 27A of the National Health Service (Scotland) Act 1978.
16. Services providing primary medical services to patients during the out-of-hours period.
17. Services provided outwith a hospital in relation to geriatric medicine.
18. Palliative care services provided outwith a hospital.
19. Community learning disability services.
20. Mental health services provided outwith a hospital.
21. Continence services provided outwith a hospital.
22. Kidney dialysis services provided outwith a hospital.
23. Services provided by health professionals that aim to promote public health.

## C

### Provision for people under the age of 18

The functions listed in Part 1 of Annex 1 are also delegated to the extent that:

- a) the function is exercisable in relation to persons of less than 18 years of age; and
- b) the function is exercisable in relation to the following health services:

- 25.** The public dental service.
- 26.** Primary medical services provided under a general medical services contract, and arrangements for the provision of services made under section 17C of the National Health Service (Scotland) Act 1978, or an arrangement made in pursuance of section 2C(2) of the National Health Service (Scotland) Act 1978.
- 27.** General dental services provided under arrangements made in pursuance of section 25 of the National Health (Scotland) Act 1978.
- 28.** Ophthalmic services provided under arrangements made in pursuance of section 17AA or section 26 of the National Health Service (Scotland) Act 1978.
- 29.** Pharmaceutical services and additional pharmaceutical services provided under arrangements made in pursuance of sections 27 and 27A of the National Health Service (Scotland) Act 1978.

### **Part 3**

**Services currently provided by the Health Board to those under 18 years of age, which are to be operationally devolved to the Chief Officer of the Integration Joint Board.**

1. Health Visiting
2. School Nursing
3. All services provided by Allied Health Professionals, as defined in Part 2A of this Annex 1, in an outpatient department, clinic, or out with a hospital.
4. Child and Adolescent Mental Health Service

## Annex 2

### Part 1

#### Functions delegated by the Local Authority to the Integration Joint Board

Schedule 2 Regulation 2

##### Part 1

Functions prescribed for the purposes of section 1(7) of the Public Bodies (Joint Working) (Scotland) Act 2014

<i>Column A</i> <i>Enactment conferring function</i>	<i>Column B</i> <i>Limitation</i>
<b>National Assistance Act 1948</b> Section 48 (Duty of councils to provide temporary protection for property of persons admitted to hospitals etc.)	
<b>The Disabled Persons (Employment) Act 1958</b> Section 3 (Provision of sheltered employment by local authorities)	
<b>The Social Work (Scotland) Act 1968</b> Section 1 (Local authorities for the administration of the Act.)	So far as it is exercisable in relation to another integration function.
Section 4 (Provisions relating to performance of functions by local authorities.)	So far as it is exercisable in relation to another integration function.
Section 8 (Research.)	So far as it is exercisable in relation to another integration function.
Section 10 (Financial and other assistance to voluntary organisations etc. for social work.)	So far as it is exercisable in relation to another integration function.
Section 12 (General social welfare services of local authorities.)	Except in so far as it is exercisable in relation to the provision of housing support services.

<i>Column A</i> <i>Enactment conferring function</i>	<i>Column B</i> <i>Limitation</i>
Section 12A (Duty of local authorities to assess needs.)	So far as it is exercisable in relation to another integration function.
Section 12AZA (Assessments under section 12A - assistance)	So far as it is exercisable in relation to another integration function.

Section 13  
(Power of local authorities to assist persons in need in disposal of produce of their work.)

Section 13ZA  
(Provision of services to incapable adults.)

So far as it is exercisable in relation to another integration function.

Section 13A  
(Residential accommodation with nursing.)

Section 13B  
(Provision of care or aftercare.)

Section 14  
(Home help and laundry facilities.)

Section 29  
(Power of local authority to defray expenses of parent, etc., visiting persons or attending funerals.)

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.

### **The Local Government and Planning (Scotland) Act 1982**

Section 24(1)  
(The provision of gardening assistance for the disabled and the elderly.)

### **Disabled Persons (Services, Consultation and Representation) Act 1986**

<i>Column A</i> <i>Enactment conferring function</i>	<i>Column B</i> <i>Limitation</i>
Section 2 (Rights of authorised representatives of disabled persons.)	
Section 3 (Assessment by local authorities of needs of disabled persons.)	
Section 7 (Persons discharged from hospital.)	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.
Section 8 (Duty of local authority to take into account abilities of carer.)	In respect of the assessment of need for any services provided under functions contained in welfare enactments (within the meaning set out in section 16 of that Act) which are integration functions.

### **The Adults with Incapacity (Scotland) Act 2000**

Section 10 (Functions of local authorities.)	
Section 12 (Investigations.)	
Section 37 (Residents whose affairs may be managed.)	Only in relation to residents of establishments which are managed under integration functions.
Section 39 (Matters which may be managed.)	Only in relation to residents of establishments which are managed under integration functions.
Section 41 (Duties and functions of managers of authorised establishment.)	Only in relation to residents of establishments which are managed under integration functions.
Section 42 (Authorisation of named manager to withdraw from resident's account.)	Only in relation to residents of establishments which are managed under integration functions.
Section 43 (Statement of resident's affairs.)	Only in relation to residents of establishments which are managed under integration functions.
Section 44 (Resident ceasing to be resident of authorised establishment.)	Only in relation to residents of establishments which are managed under integration functions.



<i>Column A</i> <i>Enactment conferring function</i>	<i>Column B</i> <i>Limitation</i>
Section 45 (Appeal, revocation etc.)	Only in relation to residents of establishments which are managed under integration functions.

### **The Housing (Scotland) Act 2001**

Section 92 (Assistance to a registered for housing purposes.)	Only in so far as it relates to an aid or adaptation.
--	---

### **The Community Care and Health (Scotland) Act 2002**

Section 5 (Local authority arrangements for of residential accommodation out with Scotland.)	
Section 14 (Payments by local authorities towards expenditure by NHS bodies on prescribed functions.)	

### **The Mental Health (Care and Treatment) (Scotland) Act 2003**

Section 17 (Duties of Scottish Ministers, local authorities, and others as respects Commission.)	
Section 25 (Care and support services etc.)	Except in so far as it is exercisable in relation to the provision of housing support services.
Section 26 (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 (Assistance with travel.)	Except in so far as it is exercisable in relation to the provision of housing support services.
Section 33 (Duty to inquire.)	
Section 34 (Inquiries under section 33: Co-operation.)	
Section 228 (Request for assessment of needs: duty on local authorities and Health Boards.)	
Section 259 (Advocacy.)	

---

*Column A*  
*Enactment conferring function*

---

*Column B*  
*Limitation*

**The Housing (Scotland) Act 2006**

Section 71(1)(b)  
(Assistance for housing purposes.)

Only in so far as it relates to an aid or adaptation.

**The Adult Support and Protection (Scotland) Act 2007**

Section 4  
(Council's duty to make inquiries.)  
Section 5  
(Co-operation.)  
Section 6  
(Duty to consider importance of providing advocacy and other.)  
Section 7  
(Visits)  
Section 8  
(Interviews)  
Section 9  
(Medical Examinations)  
Section 10  
(Examination of records etc)  
Section 11  
(Assessment Orders.)  
Section 14  
(Removal orders.)  
Section 16  
(Moving adult at risk in pursuance of removal order)  
Section 18  
(Protection of moved persons' property.)  
Section 22  
(Right to apply for a banning order.)  
Section 40  
(Urgent cases.)  
Section 42  
(Adult Protection Committees.)  
Section 43  
(Membership.)

<i>Column A</i>	<i>Column B</i>
<i>Enactment conferring function</i>	<i>Limitation</i>

---

**Social Care (Self-directed Support) (Scotland) Act 2013**

Section 5  
(Choice of options: adults.)

Section 6  
(Choice of options under section 5: assistances.)

Section 7  
(Choice of options: adult carers.)

Section 9  
(Provision of information about self-directed support.)

Section 11  
(Local authority functions.)

Section 12  
(Eligibility for direct payment: review.)

Section 13  
(Further choice of options on material change of circumstances.)

Section 16  
(Misuse of direct payment: recovery.)

Section 19  
(Promotion of options for self-directed support.)

Only in relation to a choice under section 5 or 7 of the Social Care (Self-directed Support) (Scotland) Act 2013.

**Carers (Scotland) Act 2016**

Section 6  
(Duty to prepare adult carer support plan)

Section 21  
(Duty to set local eligibility criteria)

Section 24  
(Duty to provide support)

Section 25  
(Provision of support to carers: breaks from caring)

Section 31  
(Duty to prepare local carer strategy)

Section 34  
(Information and advice service for carers)

Section 35  
(Short breaks services statements)

---

*Column A*  
*Enactment conferring function*

---

*Column B*  
*Limitation*

---

**Part 2**

Functions, conferred by virtue of enactments, prescribed for the purposes of section 1(7) of the Public Bodies (Joint Working) (Scotland) Act 2014

---

<i>Column A</i>	<i>Column B</i>
<i>Enactment conferring function</i>	<i>Limitation</i>

---

**The Community Care and Health (Scotland) Act 2002**

Section 4

The functions conferred by Regulation 2 of the Community Care (Additional Payments) (Scotland) Regulations 2002

---

### **Part 3**

Functions, conferred by virtue of enactments, prescribed for the purposes of section 1(5) of the Public Bodies (Joint Working) (Scotland) Act 2014

In addition to the functions that must be delegated, the Council has chosen to delegate the following functions to the extent that they relate to adults.

<i>Column A</i>	<i>Column B</i>
<i>Enactment conferring function</i>	<i>Limitation</i>

#### **Criminal Procedure (Scotland) Act 1995**

Section 51(1)(aa), 51(1)(b) and 51(5)  
(Remand and committal of children and young persons in to care of local authority).

Section 203  
(Local authority reports pre-sentencing.)

Section 234B  
(Report and evidence from local authority officer regarding Drug Treatment and Testing Order.)

Section 245A  
(Report by local authority officer regarding Restriction of Liberty Orders.)

#### **Management of Offenders etc. (Scotland) Act 2005**

Section 10  
(Arrangements for assessing and managing risks posed by certain offenders.)

Section 11  
(Review of arrangements.)

---

*Column A*

*Enactment conferring function*

*Column B*

*Limitation*

---

### **Social Work (Scotland) Act 1968**

#### Section 27

(Supervision and care of persons put on probation or released from prison.)

#### Section 27ZA

(Advice, guidance and assistance to persons arrested or on whom sentence is deferred.)

## **Part 2**

### **Services currently provided by the Local Authority which are to be integrated**

- Social work services for adults and older people
- Services and support for adults with physical disabilities and 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
- Occupational therapy services
- Reablement services, equipment and telecare
- Criminal justice services



## Annex 3

### Hosted Services

NHS Grampian has noted the services that are currently hosted across the areas of the Grampian IJBs and offer this for consideration to the IJB as they take forward strategic planning:

<u>Service</u>	<u>Current Host</u>
Sexual Health Services	Aberdeen City
Woodend Assessment of the Elderly (including Links Unit at City Hospital)	Aberdeen City
Woodend Rehabilitation Services (including Stroke Rehab, Neuro Rehab, Horizons, Craig Court and MARS)	Aberdeen City
Mental Health Services	Aberdeen City
Marie Curie Nursing	Aberdeenshire
Heart Failure Service	Aberdeenshire
Continence Service	Aberdeenshire
Diabetes MCN (including Retinal Screening)	Aberdeenshire
Chronic Oedema Service	Aberdeenshire
HMP Grampian	Aberdeenshire
Police Forensic Examiners	Aberdeenshire

## **Annex 4**

This Annex lists the services provided within hospitals which the IJB will have strategic planning responsibilities for which will continue to be operationally managed by NHS Grampian:

### **Services:**

- Accident & Emergency Services provided in a hospital.
- Inpatient hospital services relating to: general medicine, geriatric medicine, rehabilitation medicine and respiratory medicine; and
- Palliative Care services provided in a hospital.

### **In so far as they are provided within the following hospitals:**

- Hospitals at the Foresterhill Site, Aberdeen (which includes Aberdeen Royal Infirmary, Royal Aberdeen Children's Hospital and Aberdeen Maternity Hospital)
- Hospitals in Elgin (which includes Dr Gray's Hospital)