

# **Health and social care integration authority planning and performance reporting statutory guidance**

**Consultation analysis report**

**June 2024**

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## 1. Introduction

The strategic commissioning plans and performance reporting statutory guidance were initially published by the Scottish Government in 2015 and 2016 respectively. The purpose of the statutory guidance is to support integration authorities, who plan and direct the delivery of health and social care services, to produce strategic plans and annual performance reports.

Strategic plans and performance reports are requirements under the [Public Bodies \(Joint Working\) \(Scotland\) Act 2014](#) (“the 2014 Act”), which, more broadly, sets the framework for the integration of health and social care by establishing integration authorities. Secondary legislation, in the form of regulations, sets out further information and requirements related to strategic plans and performance reports.

Towards the end of 2022, the Scottish Government brought together a working group of partners from across health and social care to review and, where needed, refresh the guidance. The working group included organisations that represent supported people, carer organisations, those who plan and oversee the delivery of services, and many more partner organisations. [Annex A](#) lists the working group membership.

Reviewing and refreshing the guidance provided an opportunity to reflect on what has been achieved through the integration of health and social care and, moving forward, to continue to collectively shape and support improvement in the planning and monitoring of local services.

Re-drafts of the guidance were produced through engagement with the working group. The aim was to capture further feedback and views on these revised guidance documents through the public consultation. The consultation feedback also highlighted where more substantial changes may be required, including legislative changes, and the themes arising from this work remain important as we continue on the path towards developing further support for our health and social care system through the National Care Service.

The Scottish Government is grateful to those who have engaged with the consultation and provided feedback, which has assisted in improving the guidance.

## 2. Overview

The consultation was split into two parts. The first section focused on the draft Strategic plans: statutory guidance and the second section focused on the draft Annual performance reports: statutory guidance. Each section comprised six questions, which were identical for both draft guidance documents. There were two closed questions and four open-ended questions in each section.

There were 28 responses to the consultation. The below table details the proportion of the respondents, classified by 'organisation' or 'individual', as stated in their responses, with organisations also categorised by type.

<b>Category</b>	<b>Total</b>	<b>% total</b>
Public body (health and social care partnerships, scrutiny body, etc.)	14	50%
Representative body for professionals	1	3.6%
Third sector	3	10.7%
Other organisation	1	3.6%
<b>Total organisations</b>	<b>19</b>	<b>67.9%</b>
<b>Individuals</b>	<b>9</b>	<b>32.1%</b>

Due to the number of responses and mix of organisations and individuals, care is required when interpreting the findings.

One facilitated session was organised at the request of a carer representative organisation. Six Integration Joint Board carer representatives attended the session. Output from this session is considered alongside the 28 written responses to the consultation.

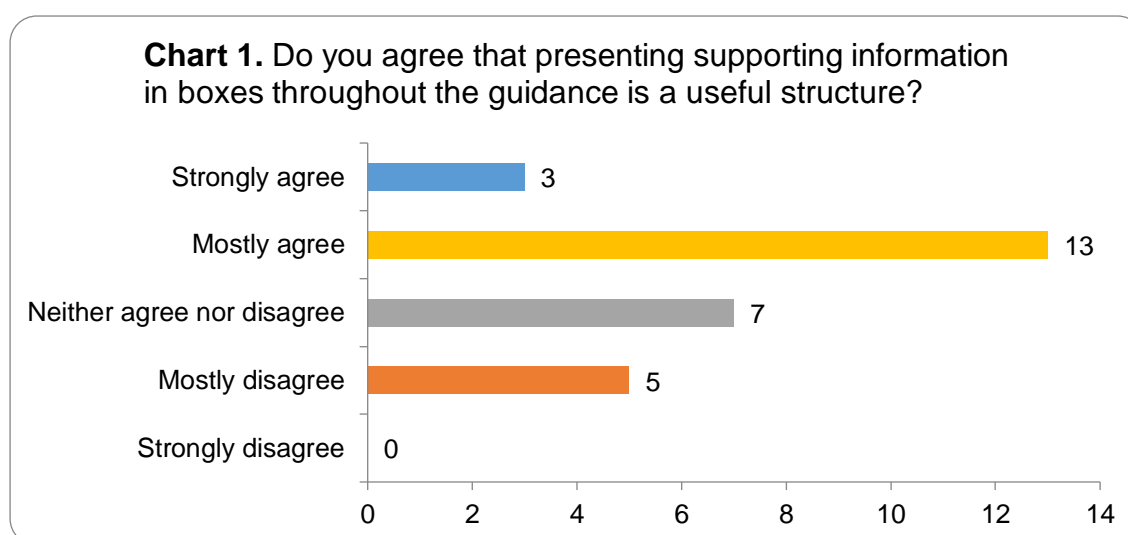
### 3. Analysis of responses to Section 1 – Strategic plans: statutory guidance

#### 3.1 Structure of the guidance

The draft guidance is ‘statutory guidance’ by virtue of section 53 of the 2014 Act, which states that those persons cited ‘must have regard to any guidance issued by the Scottish Ministers about its functions under or in relation to this Act’. This is communicated on page one of the draft guidance.

The draft guidance seeks to balance outlining the relevant requirements under the 2014 Act and related regulations with supplementary information intended to support integration authorities effectively perform the duties and draw links to wider supporting resources. The additional information is set apart, presented in boxes, throughout the guidance.

Chart 1 and Table 1, below, summarise responses to the initial question on the structure of the guidance. The majority of responses ‘mostly agree’, with ‘neither agree nor disagree’ being the second most common response. Overall, with 57% of the responses ‘mostly’ or ‘strongly’ agreeing and 18% ‘mostly’ disagreeing, there appears to be support for the approach taken in structuring the guidance.



**Table 1.** Do you agree that presenting supporting information in boxes throughout the guidance is a useful structure?

Option	Total	% total
Strongly agree	3	10.7%
Mostly agree	13	46.4%
Neither agree nor disagree	7	25%
Mostly disagree	5	17.9%
Strongly disagree	0	0%
<b>Total</b>	<b>28</b>	

Further feedback was received through the subsequent open-ended question, 'If you have any further thoughts or suggestions on how the structure of the guidance can be improved, please tell us here'. The main points from the 19 responses included:

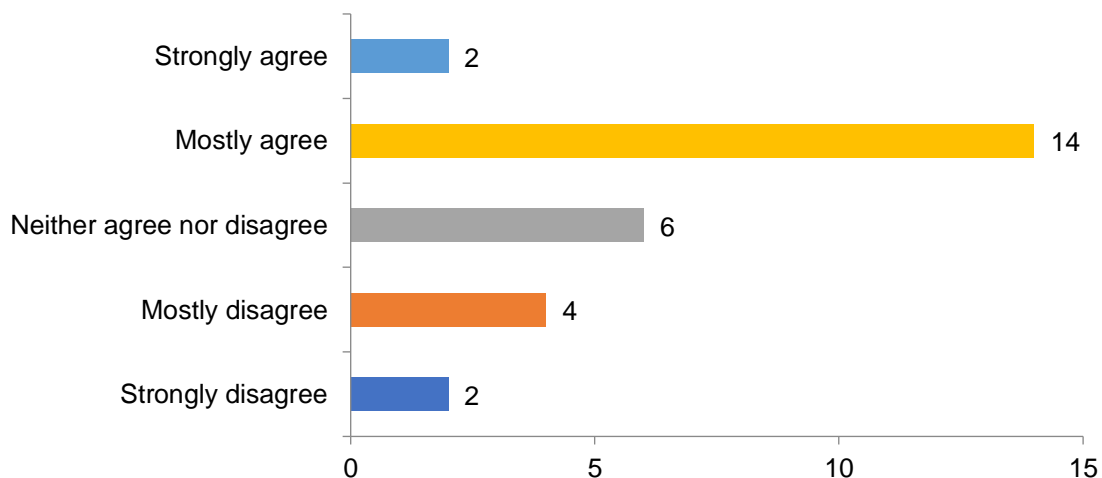
- the guidance is long, and the additional information presented in boxes could be streamlined
- some health and social care partnerships (HSCPs) responded that the guidance is too focused on the legislation, which they consider dated
- some HSCPs responded that some of the legislative requirements communicated in the guidance, centred on national outcomes, frustrate or contradict input and priorities from local partners they engage with
- the formatting to separate certain information in boxes is present in the PDF version of the document but not on the website version, which may be a barrier to accessibility
- specific feedback on the wording and placement of additional information boxes
- uncertainty on the 'statutory' labelling of the guidance

### 3.2 Balance of information within the guidance

The next questions centred on the balance of information between summarising the statutory requirements with wider supporting information throughout the guidance.

Chart 2 and Table 2, below, summarise the responses to the question on the balance of information. The majority of responses 'mostly agree' with the balance of information. Overall, with 57% of the responses 'mostly' or 'strongly' agreeing and 21% 'mostly' or 'strongly' disagreeing, there appears to be support for the balance of information within the guidance.

**Chart 2.** Do you agree that there is an appropriate balance between information summarising the relevant statutory requirements in the Public Bodies (Joint Working) (Scotland) Act 2014 and wider information to support integration authorities meet these requirements?



**Table 2.** Do you agree that there is an appropriate balance between information summarising the relevant statutory requirements in the Public Bodies (Joint Working) (Scotland) Act 2014 and wider information to support integration authorities meet these requirements?

Option	Total	% total
Strongly agree	2	7.1%
Mostly agree	14	50%
Neither agree nor disagree	6	21.4%
Mostly disagree	4	14.3%
Strongly disagree	2	7.1%
<b>Total</b>	<b>28</b>	

Further feedback was received through the subsequent open-ended question, 'If you do not think that the balance of information in the guidance is appropriate, please tell us here what changes you would recommend and why'. The main points from the 16 responses included:

- some HSCPs responded that the guidance is too focused on the legislation
- a few responses stated the guidance is balanced, comprehensive and appreciated the detail of the statutory requirements
- suggestions to re-structure the guidance to locate information centred on reviewing a strategic plan closer to the beginning, recognising that this information will be of immediate use to those using the guidance
- contradictory feedback, with some responses noting the guidance recognises the complex landscape that integration authorities operate within and others stating more support is required on links with wider areas, such as community planning partnerships and NHS health boards
- the inclusion of the specific information such as the Community Health and Social Care Integrated Services Framework and practices on involving those with lived experience is welcome
- some HSCPs responded that some of the legislative requirements communicated in the guidance, centred on national outcomes, frustrate or contradict input and priorities from local partners they engage with
- the addition of the checklist in annex C is welcome

### 3.3 Suggested improvements and other feedback

The final questions centred on suggestions on whether information can be improved or is potentially missing from the guidance, followed by the opportunity to provide any other feedback.

In response to whether information can be improved or is missing, the main points from the 19 responses included:

- suggestions to reduce, condense and streamline information
- some requests for good practice examples

- requests for further links to wider planning duties
- requests and suggestions to alter specific sections and wording
- the guidance could encourage HSCPs to evaluate their existing planning and engagement arrangements
- recognition that the language and advice around participation and engagement has been strengthened
- recognition that the guidance places an emphasis on encouraging accessible outputs
- suggestion that integration authorities should evidence lived experience involvement in their strategic plans
- more should be done in addressing the lack of third sector provider involvement in local planning processes

In relation to other feedback, the main points from the 20 responses included:

- a route for those using the guidance to provide feedback on broken links or outdated resources could be useful
- light-touch updates to the guidance should take place every few years
- the revisions to the guidance are helpful, focusing on key information while linking to wider resources
- concern that the guidance is not clear on whether it is about developing an effective strategic plan, aligned to legislation, or a guide to strategic planning more generally
- some HSCPs noted that the national health and wellbeing outcomes and related indicators are not always relevant or useful
- the potential impact of the national care service development on the guidance



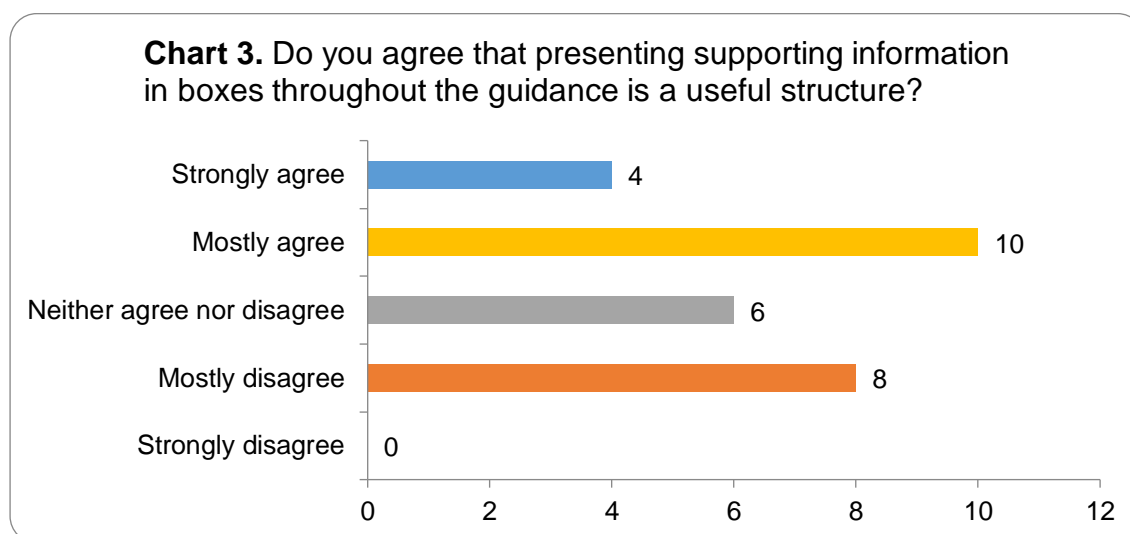
#### 4. Analysis of responses to Section 2 – Annual performance reports: statutory guidance

##### 4.1 Structure of the guidance

The guidance is ‘statutory guidance’ by virtue of section 53 of the 2014 Act, which states those persons cited ‘must have regard to any guidance issued by the Scottish Ministers about its functions under or in relation to this Act’. This is communicated on page two of the draft guidance.

The draft guidance seeks to balance outlining the relevant requirements under the 2014 Act and related regulations with supplementary information intended to support integration authorities effectively perform the duties and draw links to wider supporting resources. The additional information is set apart, presented in boxes, throughout the guidance.

Chart 3 and Table 3, below, summarise responses to the initial question on the structure of the guidance. The majority of responses ‘mostly agree’, with ‘mostly disagree’ being the second most common response. Overall, with 50% of the responses ‘mostly’ or ‘strongly’ agreeing and 29% ‘mostly’ disagreeing, there appears to be, on balance, overall support for the approach taken in structuring the guidance.



**Table 3.** Do you agree that presenting supporting information in boxes throughout the guidance is a useful structure?

Option	Total	% total
Strongly agree	4	14.3%
Mostly agree	10	35.7%
Neither agree nor disagree	6	21.4%
Mostly disagree	8	28.6%
Strongly disagree	0	0%
<b>Total</b>	<b>28</b>	

Further feedback was received through the subsequent open-ended question, 'If you have any further thoughts or suggestions on how the structure of the guidance can be improved, please tell us here'. The main points from the 17 responses included:

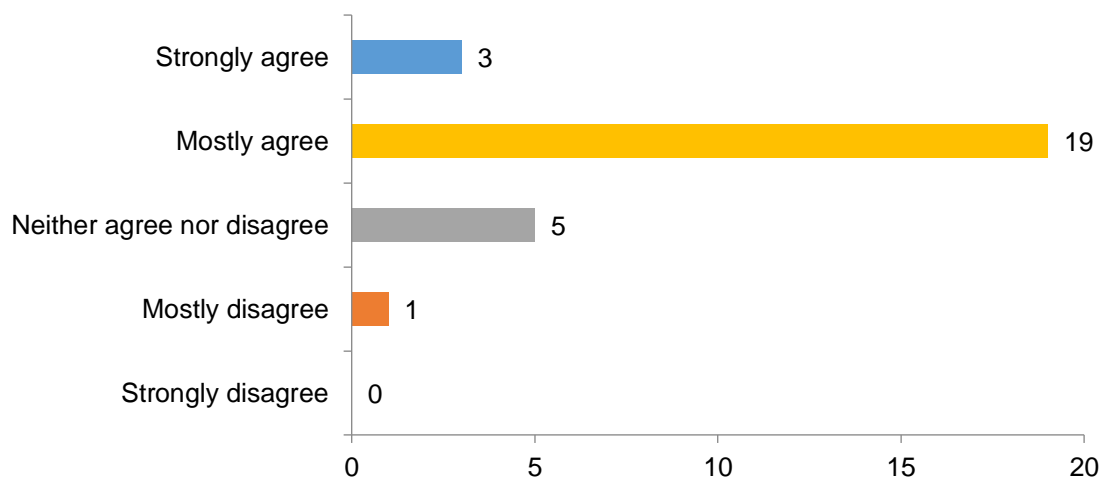
- some HSCPs noted that the additional supporting information is used to communicate both wider materials and other advice, which is unclear, and should be changed
- the additional information communicated in boxes could be shortened and refined
- the guidance could encourage HSCPs to evaluate their existing performance reporting arrangements
- the formatting to separate certain information in boxes is present in the PDF version of the document but not on the website version, which may be a barrier to accessibility

## 4.2 Balance of information within the guidance

The next questions centred on the balance of information between summarising the statutory requirements with wider supporting information throughout the guidance.

Chart 4 and Table 4, below, summarise the responses to the question on the balance of information. The majority of responses 'mostly agree' with the balance of information. Overall, with 79% of the responses 'mostly' or 'strongly' agreeing, there appears to be support for the balance of information within the guidance.

**Chart 4.** Do you agree that there is an appropriate balance between information summarising the relevant statutory requirements in the Public Bodies (Joint Working) (Scotland) Act 2014 and wider information to support integration authorities meet these requirements?



**Table 4.** Do you agree that there is an appropriate balance between information summarising the relevant statutory requirements in the Public Bodies (Joint Working) (Scotland) Act 2014 and wider information to support integration authorities meet these requirements?

<b>Option</b>	<b>Total</b>	<b>% total</b>
Strongly agree	3	10.7%
Mostly agree	19	67.9%
Neither agree nor disagree	5	17.9%
Mostly disagree	1	3.6%
Strongly disagree	0	0.00%
<b>Total</b>	<b>28</b>	

Further feedback was received through the subsequent open-ended question, 'If you do not think that the balance of information in the guidance is appropriate, please tell us here what changes you would recommend and why'. The main points from the 14 responses included:

- the balance of information appears appropriate and reasonable
- the guidance is reflective of the legislation, but may benefit from further reflecting the complex environments that integration authorities operate within
- the wording used in the sections on accessible documents may need amended

### **4.3 Suggested improvements and other feedback**

The final questions centred on suggestions on whether information can be improved or is potentially missing from the guidance, followed by the opportunity to provide any other feedback.

In response to whether information can be improved or is missing, the main points from the 19 responses included:

- some HSCPs reflected that the legislative requirements that the guidance communicates are difficult to achieve in practice
- some HSCPs questioned the role of the Scottish Government in analysing and reviewing performance reports, and feeding back good practice
- guidance on using local data would be helpful
- specific feedback on suggested updates to sections and wording of the guidance
- certain elements of the guidance were welcomed, such as aspects on reflecting on performance and taking action and encouraging practices to enhance accessibility

In relation to other feedback, the main points from the 21 responses included:

- the structure of the guidance appears appropriate

- issues with the performance report publication timing and the release of national data are not addressed by the guidance
- the addition of the checklist in annex A is welcome
- including a route for those using the guidance to provide feedback on broken links or outdated resources could be useful
- the guidance should be reviewed and kept up to date
- the legislative requirement for a comparison of financial information with the preceding five years is considered excessive

## **5. Conclusion**

The feedback has been used to further amend, revise and adapt the guidance prior to final publication. While the responses are generally supportive of the broad approach and structure taken in re-drafting the guidance, the detailed feedback through the open-ended questions highlighted possible areas for action and improvement.

Some aspects of the feedback have been easier to act upon than others. Some elements of feedback have not been immediately actioned, as they would require changes to the legislation or may constitute a failure to communicate statutory requirements through the guidance. For example, some responses expressed frustration with the current legislation, such as the role of the national health and wellbeing outcomes, reporting requirements, and the timescales in producing performance reports. As noted on the summary page of the consultation, changes to legislation are not within the scope of this project, but such views are beneficial in considering and progressing NCS development.

The NCS programme has developed alongside this project, and the direction of travel aligns with some of the consultation feedback centred on the need for greater structures and links between national oversight and local planning and performance monitoring.

The Scottish Government re-iterates its thanks to those who participated in the working group to re-draft the guidance and those who responded to the consultation.

## **Annex A: Working group membership**

Coalition of Carers in Scotland  
Convention of Scottish Local Authorities (COSLA)  
Equality and Human Rights Commission  
Health and social care partnership planning managers and officers  
Health and Social Care Scotland  
Healthcare Improvement Scotland  
Inclusion Scotland  
NHS National Services Scotland  
Partners for Inclusion  
Scottish Care  
Health and Social Care Alliance Scotland (The ALLIANCE)  
Scottish Government teams



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