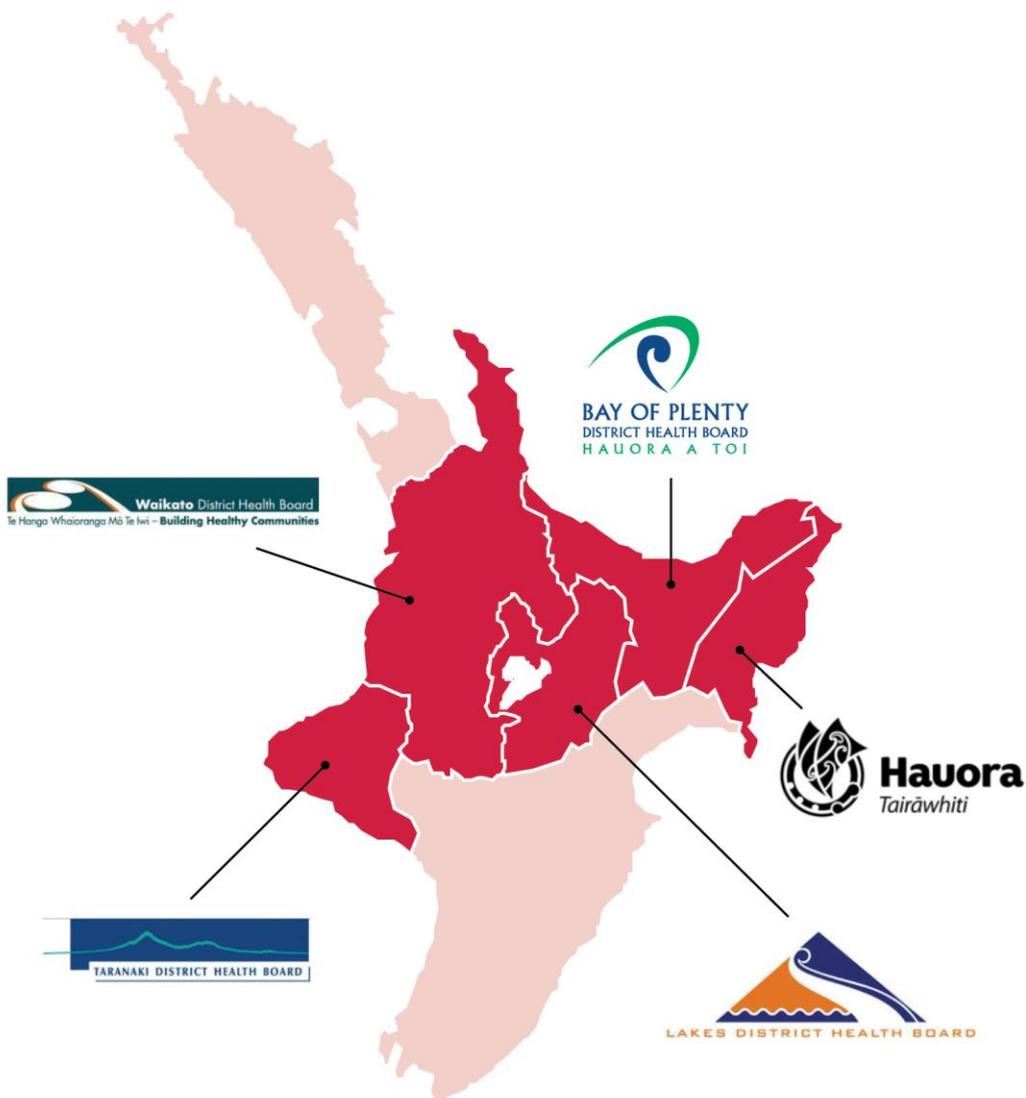


Working together

Midland Region Collaboration Manual

Final draft - April 2019



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1. Introduction

The Midland region is defined by the boundaries of five District Health Boards (DHBs) - Bay of Plenty, Lakes, Taranaki, Hauora Tairāwhiti and Waikato. The DHBs have a history of co-operating on issues of regional importance and on new programmes of change.

The development of this collaboration manual describes the way the Midland DHBs collaborate. The formalising of regional collaboration structures, and their respective accountabilities, provides the strategic framework for aligning work as a region (or part thereof).

It is acknowledged that regional work is complex and occurs as part of DHBs responsibilities to meet the current health needs of their populations. However, as the Midland region continues to plan for service improvement within the current and mid-term environments, via the Midland Regional Services Plan (RSP), the region's governors have signalled their desire to take a longer-term, more integrated, approach to improving health and community well-being. They see the development of a more formal regional collaboration framework as supporting the improving health and community well-being of their populations.

2. Document Purpose

The purpose of this document is to set out the collaboration arrangements for the Midland region. It identifies the key collaboration groups operating within the region, their relationships and accountabilities.

The collaboration structure is summarised within the body of the document along with key principles and policies. Full Terms of Reference (TOR) for two regional groups are detailed in the appendices, with reference made to two other regional governance groups.

This manual describes the collaboration framework that Midland has implemented since 2014/15 and which has been reviewed periodically.

3. Midland Regional Collaboration Model

The following diagram documents the key Midland regional bodies:

- Midland Region Governance Group (MRGG)
- Midland Iwi Relationship Board (MIRB)
- Midland DHB Chief Executive (CE) Group.

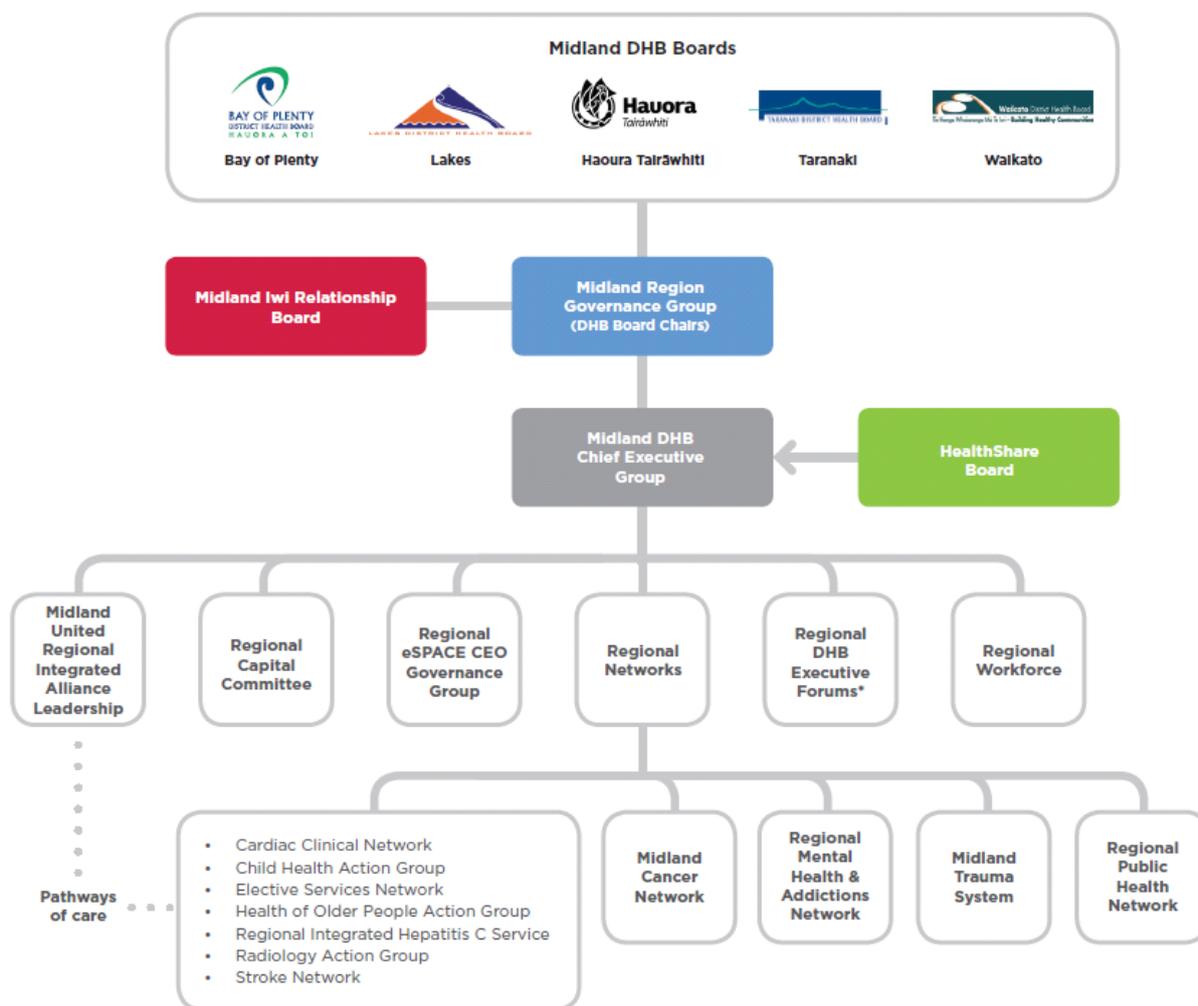
The model does not include steering/governance groups that work regionally, at a lower level, notably for IS, workforce and clinical networks.

4. Collaboration Model Overview

The Midland Region Governance group (MRGG) is the key DHB governance group for the region, overseeing and taking accountability and responsibility for regional direction, strategy and key programmes of change. These are described in the Midland RSP (see HealthShare website), a document signed by each DHB Chair and CE, and by the Chair's of the Midland Iwi Relationship Board.

Each member is accountable to their DHB Board and is responsible for informing their DHB of matters of significance, including risk and mitigation strategies, for matters arising from the group's deliberations. For full Terms of Reference see Appendix 1, p.9.

The MRGG works in partnership with the *Midland Iwi Relationship Board (MIRB)* through a Memorandum of Understanding (MoU) and Terms of Reference (ToR). The MoU and ToR (see HealthShare website) recognises the statutory functions and obligations of the MRGG and the mana motuhake of the MIRB.



* Includes Chief Operating Officers, GMs Planning & Funding, Nga Toka Hauora (GMs Maori Health), Chief Financial Officers, Chief Information Officers (Information Services Leadership Team), Information Security, Midland Privacy Governance Group, GMs Human Resources, Regional Quality & Safety.

The *Midland DHB Chief Executives (CEs) Group* provides active leadership and operational decision making for regional initiatives and activities. The group is responsible for the resourcing, and the ongoing support and monitoring of progress, for agreed regional initiatives and activities. The Group manages any associated issues and risks, for the Midland region and/or its DHBs. For full Terms of Reference see Appendix 2, p.11.

HealthShare is the Midland DHBs' Shared Service Organisation and is a limited liability company with the five Midland DHBs holding equal shares. The Terms of Reference of the HealthShare Board can be found in the HealthShare Board Manual. An outline of HealthShare's services can be found in the introductory booklet to HealthShare Ltd. (see HealthShare website).

The Regional Capital Committee comprises the five DHB CEs and this committee is responsible for taking a regional overview for the capital investment by each Midland DHB, documented in the Long Term Capital Investment Plans (LTCIP) of each DHB. The DHB LTCIP is developed / updated during the annual DHB planning process. Strategic discussions on possible new regional capital investment are

held at the MRGG and subject to individual DHB Board approval through the normal approval processes.

The Regional CE eSPACE governance group comprises the five DHB CEs and this committee is responsible for taking a regional overview for the implementation of regional eSPACE programme (including the associated regional standardisation of clinical processes and investment).

The regional clinical networks and forums, regional executive forums, and regional workforce are linked to the Midland CE Group through a lead Midland DHB CE and through regular reporting to the Midland CE Group.

5. Midland Collaboration Principles

5.1 Decision Making Principles

The purpose of these principles is to facilitate greater levels of regional co-operation and integration across the Midland DHBs and regional health system. The principles apply to any significant and substantive decision of a Midland DHB that impacts another Midland DHB. The principles apply to the MRGG, including with MIRB; and Midland DHB CE group.

Any significant decision taken shall:

- Require the agreement of all Midland DHBs and MIRB, but it is not necessary that all Midland DHBs will be involved in the implementation of the decision
- Be approved through appropriate approval processes in each DHB
- Provide that no DHB shall opt out of their commitments around decisions that they have agreed to

Definition: Midland collaboration can mean a number of DHBs working together virtually across Midland on a particular function, service or programme of work. Midland collaboration may also mean either clinical or non-clinical service provision between two or more DHBs.

Decision making criteria

The following criteria shall be applied to any decision:

- It improves health outcomes for Māori. All prospective projects and activities should be assessed by an equity assessment tool eg. HEAT
- It improves equity of access and equity of outcomes across the region
- It makes the service more sustainable by improving any or all of -
 - Effectiveness (providing the right services at the right time)
 - Efficiency (providing services the right way, to spend the health dollar once)
 - Economy (input costs lower now or in the future)
- It reduces service risk, particularly around vulnerable services
- It is aligned to national expectations
- There is an opportunity for local say on clinical services (ie. localisation)
- It builds clinical capability
- It reduces duplication in clinical and non-clinical services
- It aligns with regional services (clinical and non-clinical) plans
- It acknowledges that all other things being equal that the provision of clinical and non-clinical services be located as close to the patient (virtual or otherwise) as may be reasonable given the application of the criteria above. This supports patients and their family and whanau to have an optimal experience with the NZ public health system.

Decision making processes

The following principles provide guidance to the processes that support regional decision making:

- Decision making processes should support timely decision making. Decisions should be agreed, documented, visible and enacted
- Key initiatives will have a lead appointed who will be accountable for progressing the agreed milestones
- Common briefings to DHB Boards will be used wherever possible
- In relation to decisions made, members of each regional collaboration group have a responsibility to:
 - Communicate with colleagues locally and consult if necessary
 - Ensure that decisions are communicated to and acted on within their own DHB.

5.2 Code of Ethics

Good collaboration/governance requires members to exhibit behaviour of the highest ethical and professional standards. Members of regional collaboration groups and any committees or working parties formed as a result of regional initiatives and activities shall exhibit the following behaviours:

- **Good faith:** Act honestly and in good faith at all times in the best interest of the Midland region and it's communities
- **Care:** Exercise diligence and care in fulfilling the functions of membership
- **Regional knowledge:** Maintain sufficient knowledge of the Midland Region's business and performance to make informed decisions
- **Participation:** Attend regional meetings and devote sufficient time to preparation for the meetings to allow for full and appropriate participation in the group's discussions and decision making
- **Decisions:** Abide by the regional group's decisions once reached, notwithstanding a member's right to pursue a review or reversal of a regional group decision
- **Relationships:** Foster an atmosphere conducive to good working relations
- **Behaviour:** Treat all others fairly and with dignity, courtesy and respect
- **Due diligence:** Not agree to Midland DHBs incurring obligations unless he or she believes that such an obligation can be met when required
- **Confidentiality:** Not disclose to any other person confidential information other than as agreed by the regional group or as required under law
- **Collective responsibility:** Not to make, comment, issue, authorise, offer or endorse any public criticism or statement having or designed to have an effect prejudicial to the best interests of the Midland DHBs
- **Conflicts of interest:** Declare all interests that could result in a conflict between personal and regional priorities and comply with the Conflicts of Interest policy in this manual.

6. Midland Collaboration Policies

6.1 Regional Governance and Management Authorisations

Midland DHB Boards approve regional plans, including the Midland Regional Services Plan (RSP). Once these plans are approved, Midland DHB Boards shall authorise their Chairs to undertake regional governance through the MRGG in respect to strategy, activity and performance against these plans. The MRGG collectively deliberates on significant regional matters to establish a regional viewpoint that can be considered and endorsed by each of the Boards.

For any matters arising outside of approved plans, Boards will clearly define their expectations to their Chair and in some situations Boards may need to sign off a new proposal or strategy. In these cases, once developed by the region, the proposal/strategy will be referred back to Boards and subsequently each Chair will bring back his/her DHB's position on the matter to the MRGG.

Each DHB Chair and CE will ensure that systems are in place to provide individual Boards with accurate information to enable each Board to consider properly all regional matters before it.

Each DHB CE has authority to act on matters relating to the delivery of the agreed regional plans or other agreed strategy once approved by the Board or as is consistent with that CE's delegations, set by DHB's Delegated Authority Policy. The CE will engage with other Midland DHB CEs as required.

6.2 Disclosure of Information

In the course of regional discussions group members may have access to information that is commercially sensitive or valuable, or that could be personally sensitive to others. This information must be handled with the highest standards of care and integrity.

Group members must not disclose to any person, make use of, or act on information they have received as a member, and to which they would not otherwise have had access, unless:

- It is in the performance of the regional group's functions
- It is complying with the requirement for the member to disclose his or her interests
- The disclosure will not prejudice the five Midland DHBs or HealthShare.

Where it is necessary to interact with the media, for issues relating to Midland DHBs, the MRGG members will agree a regional spokesperson for the matter.

6.3 Conflict of Interest

To address conflicts of interest in the Midland Region the following guidelines should be adhered to by members of regional groups.

Declaration

- Any business or personal matter which could lead to a conflict of interest of a material nature involving a member should be declared by the member at the earliest time after the conflict is identified
- Details of the conflict should be registered in the Register of Interest, presented to the regional group and minuted at the first group meeting following the entry into the register.

Determination

- The regional group shall determine whether or not the conflict is of a material nature to the region and advise the member accordingly
- Where a conflict of interest has been determined the member shall not vote on any resolution relating to the conflict
- The member may only remain in the meeting, during the related discussion, with the full group's approval.

Recording

- The regional group will determine what records and other documentation relating to the matter will be made available to the member with the registered conflict
- All decisions relating to the conflict will be minuted.

7. Formation of a regional group

The need for a formal regional group may arise from:

- A Ministry of Health initiative that requires a regional approach
- The development of a new regional strategy or work programme which requires a formal mechanism to ensure successful delivery
- A regional service or function that can be enhanced with support from a cross functional group
- An informal regional group that has identified that a more formal regional structure would support their work programme.

As appropriate the MRGG or the Midland CE Group will endorse the formation of all new formal regional groups to ensure that the group's mandate is aligned to the Midland strategic direction and other change programmes that are underway.

Where appropriate, depending on the nature of the work programme, a new group may be required to develop a Terms of Reference (TOR) which includes the principles relating to Decision Making and the Code of Ethics (section 5) and the policies relating to a Conflict of Interest and Disclosure of Information (section 6.2 and 6.3) of this collaboration manual. Detail on membership, to ensure appropriate representation, may also be required within the TOR.

8. Appendices

Appendix 1: Midland Region Governance Group Terms of Reference

Purpose

The Midland Region Governance group (MRGG) is the key governance group for the region, overseeing and taking accountability and responsibility for regional direction, strategy and key programmes of change.

The Group works for the collective good of region through shaping the future vision for the health and well-being of Midland communities and driving the regional collaboration agenda.

Each member is accountable to their DHB board and is responsible for informing their organisation of matters of significance, including risk and mitigation strategies, for matters arising from the group's deliberations.

In 2011 the regional chairs agreed some principles to underpin their role in Midland region governance, their discussions and decision making. As principles the following are still relevant:

- To create a compelling case for change through the development of a shared vision
- To facilitate regional leadership at all levels
- To focus on:
 - Future value
 - Strategic alignment
 - Performance improvement.

Functions

The function of the group is to:

- Shape thinking on the future of Midland health services
- Oversee regional collaborative initiatives and activities
- Oversee the development of a strategic framework, including a roadmap and associated regional initiatives and activities that support the MIRB partnership
- Approve regional strategy
- Monitor performance against, and progress of, regional plans, initiatives and activities
- Monitor DHB capital investment via reports from the Regional Capital Committee
- Make determinations on matters of significance that have been escalated to the group.

Membership

The membership of the group comprises the Chair of each Midland DHB Board.

The role of the chair will rotate periodically, the timing of which will be determined by the group.

Meetings

Frequency

Meetings are held monthly at DHB locations across Midland according to an agreed schedule. The Midland DHB Chief Executive group is in attendance. Members may tele/video-conference in if unable to make the face-to-face meeting.

Quorum

A quorum requires representation from each of the five Midland DHBs. If a member is unavailable an alternate from their DHB Board may fulfil the duty of attendance. In the absence of three or more Chairs or alternates, any agreement reached will have no standing until ratified by all five DHB Chairs. This ratification / sign-off may occur and be recorded electronically.

Secretariat

MRGG secretariat support, and regional work programme support and facilitation, is provided by HealthShare.

Agenda

The MRGG Chair (or delegate) is responsible for contacting members ten working days prior to the meetings to seek agenda items.

The focus of the agenda is on items that are pertinent to the MRGG and its function including:

- Progress reporting against agreed regional plans eg. RSP
- Items of strategic importance including national and cross sector initiatives
- Midland business issues that have come via the Midland DHB CE Group
- Escalated individual DHB operational issues that have relevance to the Midland Region and have been unable to be addressed in the Midland DHB CE Group
- Notification of regional risk.

The agenda and associated pre-reading will be distributed to members at least five working days prior to the meeting and late papers will only be sent with approval from the Chair.

Minutes will be distributed to the Chair for review within five working days of the meeting and to other members upon the completion of the review and amendments.

Reporting

Reports to the MRGG will be received from the:

- Midland DHB CE Group – on regional work programmes and the Regional Capital Committee
- External agencies.

Reports from the MRGG include reports to:

- Midland DHB Boards when a regional plan or collective decision needs DHB approval
- Central agencies when appropriate or required
- Midland DHB CE Group on actions required
- Others as required.

Appendix 2: Midland DHB Chief Executives Group Terms of Reference

Purpose

The Midland DHB Chief Executive (CE) Group provides active leadership and operational decision making for Midland regional initiatives and activities. The group is responsible for the resourcing, and the ongoing support and monitoring of progress, for agreed regional initiatives and activities. These initiatives and activities are facilitated by the region's DHBs and HealthShare and include:

- Midland strategies, plans and work programmes agreed in the MRGG forum
- RSP initiatives and activities including:
 - clinical service development initiatives
 - e-health IT systems implementation
 - workforce development and intelligence
- Capital planning
- Work programmes undertaken by the DHB executive and clinical groups across the region.

Each member is accountable to his/her DHB Board and is responsible for informing their organisation of matters of significance, including risk and mitigation strategies, for matters arising from the group's deliberations.

Functions

The function of the group is to:

- Ensure collaboration between DHBs for regional initiatives and activities
- Support the development of regional strategy
- Support and resource regional work programmes
- Monitor the RSP and ensure alignment of the RSP and DHB Annual Plans
- Manage issues and risks highlighted by Midland's strategies, plans and operations
- Approve the establishment or disestablishment of regional work groups and networks and monitor their effectiveness. (NB: The monitoring of the effectiveness of HealthShare's facilitation service for regional groups/networks is a HealthShare Board/CE responsibility)
- Approve the regional capital plan via its role as the Midland Region Capital Committee.

Membership

The membership of the group comprises the CEs of each Midland DHB, with the CE of HealthShare in attendance.

The role of the chair will rotate periodically between the DHB CEs, the timing of which will be determined by the group.

Meetings

Frequency

Meetings are held monthly at DHB locations across Midland according to an agreed schedule. Members may tele/video-conference in if unable to make the face-to-face meeting.

Quorum

A quorum requires representation from three Midland DHBs. If a CE member is unavailable an alternate from their DHB executive may fulfil the duty of attendance.

Secretariat

Secretariat support for the development and releasing of the agendas is provided by the Executive Assistant to the HealthShare CE. Minute taking is the responsibility of the Executive Assistant to the HealthShare CE.

Agenda

The CE Group Chair (or delegate) is responsible for contacting members ten working days prior to the meetings to seek agenda items.

The focus of the agenda is on items that are pertinent to the CE Group and its function including:

- Items of strategic regional importance
- Progress reporting against plans eg. RSP, Capital
- Items that come via the Midland executive groups (DHB and HealthShare) for regional decision making
- Midland business cases that have come via DHB work programmes and HealthShare
- Escalated individual DHB operational issues that have relevance to the Midland Region
- Communication of regional successes, issues and decisions.

The agenda and associated pre-reading will be distributed to members at least five working days prior to the meeting and late papers will only be sent with approval from the Chair.

Minutes will be distributed to the Chair for review within five working days of the meeting and to other members upon the completion of the review and amendments.

Reporting

Reports to the CE Group will be received from the:

- MRGG on actions required
- Midland executive groups
- HealthShare Board via a standing agenda item
- External agencies.

Reports from the CE Group may include reports to:

- MRGG on discussions / decisions from the CE Group deliberations
- Midland DHB Boards when a regional plan or collective decision needs DHB approval
- Central agencies when appropriate or required
- HealthShare Board on relevant discussions / decisions
- DHB Communications teams for distribution to staff
- Others as required.