

AUDIT RECOMMENDATION TRACKER – UPDATE SEPT’23 BY CHIEF OFFICER

Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update September 2023	Status
<p>T1 - 2019/20 Risk Management</p>	<p>Risk management strategy and policy to be reviewed with updated version made available to staff.</p>	<p>Chief Officer</p>	<p>3</p>	<p>Apr 20</p>	<p>Sept 23</p>	<p>Sept’23 – New developed Strategic Risk Register completed alongside risk appetite statement. Colleagues in NHS Risk to upload No further input from Chief Officer required.</p> <p>***</p> <p>Jun’23 - A Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. The Strategic risks were reviewed in April 23 as timetabled and no changes were made to the scoring.</p> <p>A risk workshop was undertaken in May 23 to develop the risk appetite which will be incorporated into the risks moving forward.</p> <p>Risks are also being currently moved onto Datix.</p>	<p>Partially Complete</p>

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T6 - 2019/20 Risk Management	The Chief Officer should consider the signed statements of assurance on receipt and consider any significant matters along with other regulatory reports and audit reports in order to inform the disclosures in the Corporate Governance Statement.	Chief Officer	2	Apr 20	Aug 23	<p>Sept'23 – Request from CnES & NHS WI</p> <p>***</p> <p>Jun'23The Chief Officer has met with the Chief Executives of both bodies and agreed that assurance statements will be provided to support the governance statement.</p>	Partially Complete
T7 - 2019/20 Financial Planning, Management and Savings	Strategic plan/refresh to be reviewed as required and current plan to be made available online.	Chief Officer	3	Dec 19	Sept 23	<p>Sept'23 – Draft approved timetable for consultation in development. Request change in timescale to 21.03.24</p> <p>***</p> <p>Jun'23 - The new strategic framework has been developed and is at the point of being issued for consultation. This will include roadshows to increase community engagement given its importance. Upon completion of the new strategy the website will be updated.</p>	Partially Complete

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T10 - 2020/21 Workforce Planning and Organisational Development	<p>An Integrated Workforce Plan is implemented with progress on action points communicated regularly to the board.</p> <p>An updated workforce strategy along with closer joined up working will be required to consider and plan to mitigate the current and medium term staffing matters affecting both parent bodies in the provision of services to the IJB.</p>	Chief Officer	1	Review by April 21	Sept 23	<p>Sept'23 – Request attendance from Parent Bodies HR Leads to attend Integrated CMT meetings to present individual organisation plans.</p> <p>***</p> <p>Jun'23 - The Chief Officer has now been provided with the Workforce Plans from both parent organisations. The Chief Officer intends to write a paper for the Board on workforce.</p> <p>Leads from both organisations will attend the ICMT meetings to discuss workforce matters with this meeting feeding into the IJB Board.</p>	Partially Complete

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<p>T11 - 2020/21 Workforce Planning and Organisational Development</p>	<p>Strategic documentation published on the website to be updated with the latest versions. Including Spending plans, annual accounts and annual reports and Publication scheme to be reviewed and updated.</p>	<p>Chief Officer</p>	<p>3</p>	<p>Apr 21</p>	<p>Sept 23</p>	<p>Sept’23 – Once the Workforce Strategy is available it will be placed on the website.</p> <p>Linked to T7 with a request to change the timescale of delivery to 21.03.24</p> <p>All other Plans noted are being presented to the IJB in October and following the outcome will be placed on the website – specifically the Annual Accounts & Audit Scotland Annual Report.</p> <p>Publication Scheme and review of the Website was agreed for completion by the end of 2023.</p> <p>All papers presented to the IJB are available on the website within “Board Papers”</p> <p>***</p> <p>Jun’23 - A new strategy is being worked on at the moment and will go out for consultation. Upon completion of the new strategy the website will be updated.</p>	<p>Partially Complete</p>
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						Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB.	
T13 - 2021/22 Consultation, Participation and Engagement	<p>The review of the Participation and Engagement Strategy takes cognisance of the updated guide on the National Standards for Community Engagement and associated review form.</p> <p>The outcomes of consultation and engagement exercises undertaken should be clearly communicated on the website along with a link to the relevant partner body website where relevant.</p>	Chief Officer	3	Once the system moves out of emergency footing	Nov 23	<p>Sept’23 – The participation lead is now in situ and is starting to work up a community engagement plan, following the presentation on Community Engagement at a Development session in August’23.</p> <p>***</p> <p>Jun’23 - The participation lead responsible for this area is currently on phased return to work following a period of absence, this will now allow for work to be undertaken on this area.</p>	Incomplete

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T15 - 2019/20 Business Continuity Planning and Disaster Recovery	Implementation of Business Continuity policy statement along with formal annual assurance being sought from partner organisations that Business Impact Assessments have been carried out and appropriate Business Continuity arrangements are in place.	Chief Officer	2	Apr 20	Sept 23	<p>Sept'23 – Request from Chief Executives.</p> <p>Audit continuity papers are presented to Audit & Risk Committee</p> <p>***</p> <p>Jun'23 - The Chief Officer has spoken with the Chief Executives of both partner organisations who have agreed to provide annual assurance on the arrangements in place.</p>	Partially Complete
T16 - 2019/20 Business Continuity Planning and Disaster Recovery	Formal annual assurance should be given by each partner organisation confirming whether the necessary IT systems and controls have been tested and are operating effectively and whether adequate budgetary provision has been made to enable this to take place.	Chief Officer	2	Jan 20	Sept 23	<p>Sept'23 – Merge with T15</p> <p>***</p> <p>Jun'23 - The Chief Officer has spoken with the Chief Executives of both partner organisations who have agreed to provide annual assurance on the arrangements in place.</p>	Partially Complete

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T18 - 2021/22 Scheme Review	Consideration is given to whether a full review of the integration scheme is still required as per the original requirements of the IJB.	Chief Officer	1	Once the system moves out of emergency footing	Sept 23	<p>Sept'23 – Duplication remove</p> <p>***</p> <p>Jun'23 - Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. The main focus of the review has been on the arrangements in place for dispute resolution.</p>	Partially Complete
T19 - 2021/22 Scheme Review	An update should be provided to the IJB and Scottish Government regarding the status of the scheme review with any future amendments approved, as necessary.	Chief Officer	2	Once the system moves out of emergency footing	Sept 23	<p>Sept'23 – Duplicate T18</p> <p>Tim Langley is attending the IJB Audit & Risk Committee on 03.10.23 to discuss and update on the Scheme Review</p> <p>***</p> <p>Jun'23 - Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. The main focus of the review has been on the arrangements in place for dispute resolution.</p>	Partially Complete

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<p>T20 - 2021/22 Scheme Review</p>	<p>Where any amendments are made to the current scheme, any successor scheme should be placed on the website</p>	<p>Chief Officer</p>	<p>3</p>	<p>Once the system moves out of emergency footing</p>	<p>Sept 23</p>	<p>Sept'23 – Repeated Duplication with T18 & T19 *** Nov'23 - Following the review the document will be placed on the website.</p>	<p>Partially Complete</p>

<p>T22 - 22/23 – Workforce Management Information</p> <p>Report completed Oct 22 and presented to the IJB A&R C on 14.06.23</p>	<p>The IJB should formally agree, document and communicate the workforce performance information required to provide assurance that there are appropriate arrangements in place within the partner bodies to recruit and retain the required workforce to deliver integrated services. In line with good practice, it is suggested that the request should cover the following:</p> <ul style="list-style-type: none"> • Content and format of reporting - the metrics and information required i.e. quantitative or qualitative. These should provide coverage of all key workforce areas for example recruitment/vacancies, staff turnover levels, shift fill rates, sickness and other absence rates, staff survey/satisfaction outcomes and training. • Roles and responsibilities. • Frequency of reporting to the IJB and a timetable for the production of data. • The process for senior managers to quality assure the data before it is reported to the IJB. <p>The IJB should review the workforce KPIs in the current Performance Management Framework document</p>	<p>Chief Officer</p>	<p>3</p>	<p>Dec'23</p>		<p>Original response Oct'22 - Chief Officer to arrange meeting with HR leads in both organisations to specify content of reporting and determine what is achievable within current systems, recognising that both organisations data will be different and separate.</p>	
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	and confirm whether these remain relevant and should be included in any future reporting. Management should also ensure that the sharing of any raw data from the partner body HR systems is proportionate in line with General Data Protection Regulation (GDPR).						
<p>T23 - 22/23 – Workforce Management Information</p> <p>Report completed Oct 22 and presented to the IJB A&R C on 14.06.23</p>	<p>The IJB should ensure that workforce reports include data on staff turnover and the KPIs linked to the workforce plan and other workforce related targets. This recommendation is linked to MAP 1.1.</p> <p>Management should reflect on the reporting capacity of the IJB and consider whether the Chief Financial Officer is the most appropriate person to produce regular IJB workforce reports</p>	Chief Officer	2	Dec'23		<p>Original response Oct'22 - Chief Officer to arrange meeting with HR leads in both organisations to specify content of reporting and determine what is achievable within current systems, recognising that both organisations data will be different and separate.</p>	

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<p>T24 - 22/23 – Workforce Management Information</p> <p>Report completed Oct 22 and presented to the IJB A&R C on 14.06.23</p>	<p>The IJB should ensure, where possible, that there is HR representation from both partner bodies at the Integrated Corporate Management Team meeting (iCMT).</p> <p>Consideration should also be given to reinvigorating the HR forum to allow HR colleagues from both partner bodies to come together to discuss, collaborate and progress issues affecting the IJB workforce and to report directly in to the IJB.</p>	Chief Officer	2	Aug'23		<p>Original response Oct'22 - HR Representatives from both organisations are invited to ICMT. Workforce issues can be discussed in the forum. A HR sub group/forum will be considered if required.</p>	
<p>T25 - 22/23 – Workforce Management Information</p> <p>Report completed Oct 22 and presented to the IJB A&R C on 14.06.23</p>	<p>Management should include details of relevant mitigating actions within the body of the workforce reports. The IJB should ensure that all relevant actions are recorded on the IJB action log with clear owners and due dates so that progress can be monitored and the IJB can be assured that appropriate action is being taken.</p>	Chief Officer	2	Aug'23		<p>Original response Oct'22 - Future workforce reports will include mitigating actions and action logs will be kept up to date.</p>	

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<p>T26 - 22/23 – Workforce Management Information</p> <p>Report completed Oct 22 and presented to the IJBA&RC on 14.06.23</p>	<p>The IJB should develop a formal escalation framework and ensure that there is a clear process to escalate matters when the performance information required by the IJB is not forthcoming from the partner body organisations.</p>	Chief Officer	3	Dec'23		<p>Original response Oct'22 - The Chief Officer in conjunction with the two Partners HR Leads will consider a formal escalation process but informal methods are currently up to the Chief Executives</p>	
<p>T27 - 22/23 Strategic Planning</p> <p>Report completed May 2023, presented to the IJBA&RC on 14.06.23</p>	<p>Management should provide a clear timeline to complete the strategic planning cycle, including Board approval</p>	Chief Officer	3	31.12.23		<p>REQ at Committee 14.06.23 ~ Provide a clear timeline from framework consultation to the Strategic Plan being agreed. Nick Fayers</p> <p>Original Response May'23 - There is an annual cycle of commissioning that will be guided by the Strategic Framework. The further development of the framework and wider consultation through both the Strategic Planning Group and LPGs will be undertaken by the close of Q3.</p>	

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<p>T28 - 22/23 Strategic Planning</p> <p>Report completed May 2023, presented to the IJBA&RC on 14.06.23</p>	<p>Management should ensure that the IJB Board is provided with a timescale outlining when underlying plans should be produced. In addition strategic plans should address medium- and long-term activities.</p> <p>The Health and Social Care Strategic Framework 2023-2026 document should address how it will ensure alignment with strategic vision and objectives of underlying plans.</p>	Chief Officer		30 Sept 2023		<p>Original Response May’23 - A framework approach has deliberately been adopted to guide the development of delivery plans. Both partner organisations have an annual cycle of delivery planning. Performance is reported to the IJB by way of Performance Reporting metrics.</p>	
<p>T29 - 22/23 Strategic Planning</p> <p>Report completed May 2023, presented to the IJBA&RC on 14.06.23</p>	<p>Management should ensure that actions within the strategic framework and plans are sufficiently SMART, where these actions are derived from national outcomes additional context and supporting SMART actions should be documented.</p> <p>In addition they should also ensure the Health and Social Care Strategic Framework 2023-2026 document complies with the legislative requirements</p>	Chief Officer	2	31 Dec 2023		<p>Original Response May’23 - The planned consultation process aligned to annual delivery plans will ensure that delivery plans for the two parent bodies are developed in line with the Strategic Framework and supported by the current performance metrics.</p>	

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<p>T30 - 22/23 Strategic Planning</p> <p>Report completed May 2023, presented to the IJBA&RC on 14.06.23</p>	<p>Management should ensure that the strategic context is adequately addressed in the Health and Social Care Strategic Framework 2023-2026 document</p>	<p>H&SCP Senior Leadership Team</p>		<p>31 Dec 2023</p>		<p>Original Response May'23 - The planned consultation & forward development of the Strategic Framework together with formal publication/workshops is intended to ensure the strategic context is clearly communicated.</p>	
<p>T31 - 22/23 Strategic Planning</p> <p>Report completed May 2023, presented to the IJBA&RC on 14.06.23</p>	<p>Management should develop an outline communication and engagement plan, aligned with strategic plans development (MAP 1.1) which clearly identifies when and how stakeholders, both internal and external will be involved in the strategic planning process.</p>	<p>Chief Officer</p>	<p>2</p>	<p>31 Dec 2023</p>		<p>Original Response May'23 - A communications and engagement plan will be developed in partnership with the 2 parent bodies. The Strategic Planning Group is the vehicle to ensure stakeholder engagement alongside LPGs.</p>	
<p>T32 - 22/23 Strategic Planning</p> <p>Report completed May 2023, presented to the IJBA&RC on 14.06.23</p>	<p>Management should clarify the roles and responsibilities for strategic planning with the planning framework document, ensuring that this complies with the integration legislation. In addition any terms of reference or job descriptions should be updated accordingly.</p> <p>Management should also ensure the Integration Joint Board is provided with assurance that the strategic plan develop process complies with legislation.</p>	<p>Chief Officer</p>	<p>2</p>	<p>31 Mar 2024</p>		<p>Original Response May'23 - Roles and responsibilities are the preserve of the parent bodies. The IJB will define what is required through the development of Directions to adequately support the ongoing strategic planning.</p>	

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