










# Summary of outstanding actions

IJB Audit & Risk Committee 30.11.24  
Agenda Item: 5.1.1  
Purpose: For Discussion



Report	Recommendation	Action Owner	Azets Grade	Original timescale	Revised timescale	Management Update July 2024	Status/Evidence
<b>T10 - 2020/21 Workforce Planning and Organisational Development</b>	<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	4	Review by April 21		<p>Workforce strategies for NHS WI and CnES alongside exec summary recommending IJB adopt main partners strategies was presented to full Board on 27.06. Board approved</p> <p><b>Action completed</b></p>	<p><b>CNES Workforce Plan -</b></p>  <p><b>T10 CnES Workforce Plan (IJB)</b></p> <p><b>NHS Workforce Plan</b></p>  <p><b>T10 NHS-Western-Isles-</b></p> <p><b>DRAFT IJB Minutes 27.06.2024 -</b></p>  <p>27.06.24 draft IJB Minute v2.doc</p>


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<b>T18 - 2021/22 Scheme Review</b>	<p>Consideration is given to whether a full review of the integration scheme is still required as per the original requirements of the IJB.</p> <p>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.</p> <p>Where any amendments are made to the current scheme, any successor scheme should be placed on the website</p>	Chief Officer	4	Once the system moves out of emergency footing	Jan 2025	<p>Revised Scheme of Integration presented at Special Meeting of IJB 18.04. The Board requested further work to be undertaken. Work to revise scheme further is lodged with CEs as outlined within The Public Bodies (Joint Working) (Scotland) Act 2014 which sets out the requirements for the Scheme to be devised by main partners</p> <p>Timescale for completion set for January series 2025</p>	<p><b>Review of Scheme</b></p>  <p><b>TG18 Review of the Scheme of Integrati</b></p> <p><b>Appendix 1</b></p>  <p><b>TG18 Appendix 1 - Integration Scheme</b></p> <p><b>Appendix 2</b></p>  <p><b>TG18 Appendix 2 - IJB Escalation of Inci</b></p> <p><b>Appendix 3</b></p>  <p><b>TG18 Appendix 3 - Western Isles HSCP</b></p> <p><b>IJB Minutes 18.04.2024</b></p>  <p><b>TG18 IJB Minute of 18.04.24 (IJB 27.06.24)</b></p>



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<b>T6 - 2019/20 Risk Management</b>	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	3	Apr 20		<p>The Western Isles IJB Annual Accounts 2022/23 contains the Annual Governance Statement of Assurance (pages 11-20)</p> <p>Action complete</p>	<p><b>IJB Annual Accounts 2022/23</b></p>  <p>T6 IJB Annual Accounts 2022-23 (U)</p> <p>(note for Nick see item 6.2 email from DB)</p>
<b>T7 - 2019/20 Financial Planning, Management and Savings</b>	Strategic plan/refresh to be reviewed as required and current plan to be made available online.	Chief Officer	1	Dec 19		<p>The Strategic Framework for 2024-27 was approved by IJB and is available online via IJB website.</p> <p>Consultation has concluded</p> <p>Action complete</p>	<p><u>Health and Social Care (Integrated Joint Board) - NHS Western Isles   Serving the Outer Hebrides of Scotland.</u></p>
<b>T15 - 2019/20 Business Continuity Planning and Disaster Recovery</b>	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	3	Apr 20		<p>CnES and NHS WI have BCP's in place for all of delegated services</p> <p>Action complete</p>	<p><b>Email to Norma Skinner and Aaron Dawson to confirm</b></p> <p>Nick to provide</p>

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<b>T16 - 2019/20 Business Continuity Planning and Disaster Recovery</b>	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 budgmetary provision has been made to enable this to take place.	Chief Officer	3	Jan 20		CnES and NHS WI have appropriate IT system controls in place <b>Action complete</b>	<b>Email evidence from Paul Darvell (NHS) and Malcolm Nichol (CnES)</b>  <b>Nick to provide</b>

<b>2022/23 Workforce Management Information</b>	<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"> <li>• 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.</li> <li>• Roles and responsibilities.</li> <li>• Frequency of reporting to the IJB and a timetable for the production of data.</li> <li>• The process for senior managers to quality assure the data before it is reported to the IJB.</li> </ul> <p>The IJB should review the workforce KPIs in the current Performance Management Framework document and confirm whether these remain relevant and should be included in any future reporting.</p>	Chief Officer	3	Dec 2023	Sept 2024	<p>Workforce leads from NHS WI &amp; CnES to invited to present recent workforce reports to IJB for awareness and assurance</p> <p>Action complete at September series. Evidence from minute</p>	<b>Michelle M to invite representatives to September series</b>
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<b>2022/23 Strategic Planning</b>	Management should provide a clear timeline to complete the strategic planning cycle, including Board approval.	Chief Officer	3	Dec 2023		<p>NHS WI/ CnES has issued Directions (approved by Board on 27.06). Directions are informed by LPG/SPG discussion and recommendations</p> <p><b>Action complete</b></p>	<p><b>Directions to main partners</b></p>  <p><b>T6 Directions Annex A-D 2024-25 (IJB 27.06.24)</b></p> <p><b>DRAFT IJB Minutes 27.06.2024 –</b></p>  <p>27.06.24 draft IJB Minute v2.doc</p>
<b>2022/23 Workforce Management Information</b>	<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 2023		<p>See workforce Management information and request for workforce leads to attend/present</p> <p><b>Action complete</b> at September series. Evidence from minute</p>	<p><b>Michelle M to invite representatives to September series.</b></p> <p>28.10.24 – MMc update ~ the workforce report was not presented and therefore no reps attended</p>

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<b>2022/23 Workforce Management Information</b>	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.	Chief Officer	2	Aug 2023	Sept 2024	See workforce Management information and request for workforce leads to attend/present  <b>Action complete</b> at September series. Evidence from minute	<b>Michelle M to update action log following September series</b>  28.10.24 – MMc update ~ the workforce report was not presented and therefore no update
<b>2022/23 Strategic Planning</b>	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.  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.	Chief Officer	2	Sept 2023	Jan 2024	HSCP to develop overarching annual delivery plan adopting plan on a page approach.  SMT leads to share plans in line with January series.  Supporting information re annual delivery plan contained with ADP for NHS WI services	<b>2023-24NHS WI ADP</b>   <b>LDP Reporting Summary 2023_24 Q</b>

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<b>2022/23 Strategic Planning</b>	<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	Dec 2023		<p>The outcomes stated in the strategic framework are all supported by key metrics and evidenced through MSG indicator reporting</p> <p>The legislative requirement is for IJB to produce strategic commissioning framework/plans which in turn inform the annual cycle of commissioning/directions</p> <p>Action complete</p>	<p><b>Directors to Main Partners</b></p>  <p>T6 Directions Annex A-D 2024-25 (IJB 27.1)</p> <p><b>Strategic Framework</b></p>  <p>Health and Social Care SF 24-27.pdf</p>
<b>2022/23 Strategic Planning</b>	Management should ensure that the strategic context is adequately addressed in the Health and Social Care Strategic Framework 2023-2026 document.	H&SCP Senior Leadership Team	2	Dec 2023		<p>Section 3 of the framework outlines the strategic context</p> <p>Action complete</p>	<b>See framework</b>
<b>2022/23 Strategic Planning</b>	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.	Chief Officer	2	Dec 2023		<p>Consultation and engagement has been completed for the Strategic Framework. The Framework is available on line.</p> <p>Action complete</p>	<p><u><a href="#">Health and Social Care (Integrated Joint Board) - NHS Western Isles   Serving the Outer Hebrides of Scotland.</a></u></p>




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<b>2022/23 Strategic Planning</b>	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. Management should also ensure the Integration Joint Board is provided with assurance that the strategic plan develop process complies with legislation.	Chief Officer	2	Mar 24		<p>The legislative requirement is for IJB to produce strategic commissioning framework/plans which in turn inform the annual cycle of commissioning/directions</p> <p>The single legislative requirement outlined in The Act is the production of strategic planning documentation. The Framework meets this requirement.</p> <p>The IJB will receive copies of the Strategic Planning Group minutes alongside a revised ToR</p> <p>ToR to be discussed at September series.</p> <p>If approved <b>action complete</b></p>	<p><b>Michelle M to add SPG ToR to IJB Sept agenda</b></p> <p>28.10.24 – MMC update ~ The SPG ToR have yet to be completed. Approval is reserved by the IJB rather than formal approval by IJBA&amp;RC</p>
<b>T1 - 2019/20 Risk Management</b>	Risk management strategy and policy to be reviewed with updated version made available to staff.	Chief Officer	1	Apr 20	Sept 2024	<p>IJB Risk Register, Risk Appetite Statement and Risk Management Strategy for approval at September series</p> <p>If approved <b>action complete</b></p>	<p><b>Michelle T to add to agenda</b></p> <p>28.10.24 – MMC update ~ The register and strategy were presented to the IJB on 19.09.24 and were approved.</p>

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<b>T11 - 2020/21 Workforce Planning and Organisational Development</b>	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.	Chief Officer	1	Apr 21		All key documents now published on new IJB website following cyber event  <b>Action complete</b>	<a href="#"><u>Health and Social Care (Integrated Joint Board) - NHS Western Isles   Serving the Outer Hebrides of Scotland.</u></a>
<b>23/24 Financial Planning</b>	We recommend that the CFO clearly details background information for each type of reserve, including its expected use, expected and actual date of use, and remainder available within the Reserves 23/24 document. This detail should be updated as regularly as possible as reserves are allocated and linked to the spreadsheet outlining the three-year annualised budgets. This budget document should be updated with reference to each reserve which is used and its value for continuity and clarity. Additionally, if any reserves are due to be used up in the year, these should be clearly documented for oversight of remaining resources.	Chief Financial Officer	2	Sept 2024	Nov 2024 (Cyber Attack)	The reserves spreadsheet has been updated for NHS use of reserves and possible use by Social Care in 23/24. Explanations of use are outlined in part but as of July 2024 not completed. Work will continue and by September any specific reserves will be documented what it is or likely to be used for in NHS and where possible for CnES. The effect of the Cyber Attack will slow down this work as the complete level of reserves and year end and available for 2024/2025 will not be available to at least November 2024	<b>Partial done – see Management Update</b>

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<b>23/24 Financial Planning</b>	We recommend management clearly document each of the resource constraints (both financial and workforce) to the organisation and outline the actions required to ensure the organisation stays within budget. This may include they consideration of prioritising resources where required.	Chief Financial Officer	3	September 2024	November 2024 – could extend will update next quarter	There is no ledger reporting data for 24/25 for social care as work has been on the 23/24 ledger build. Once that is completed then uploading from held spreadsheets will occur. The CFO will work with the SC Accountant to see if exception monitoring for Social Care at a high level could be produced for November schedule of Committees. NHS Financial Reports and Workforce Reports have been extended to look at more efficiency areas, constraints and variations within areas – these reports will be used in part for IJB reporting	
<b>23/24 Financial Planning</b>	We recommend management incorporate detail of the financial pressures they are facing within the 'Budgets 3 Year' documentation for continuity. An additional section should be added to the document that sets out each financial constraint, with background information, expected impact on financial position and expected recovery actions that will be taken. As part of the regular updates to the Board, the CFO should present the planned recovery activities to allow for a clear understanding of the pressures being faced and evaluation of proposed resolutions.	Chief Financial Officer	2	March 2025		There is no ledger reporting data for 24/25 for social care as work has been on the 23/24 ledger build. Once that is completed then uploading from held spreadsheets will occur. The CFO will work with the SC Accountant to see if exception monitoring for Social Care at a high level could be produced for November schedule of Committees. If date both financial and resources are available in detail for both NHS and Social Care then this will be built into budget reports as it is provided to Scottish Government	<b>Dependant on ledger recovery</b>

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<b>23/24 Financial Planning</b>	Recommendations were previously raised in the 2022/23 Strategic Planning Audit regarding the update of the strategic documents (Map 1.1 and Map 1.2) which remain outstanding. As part of this we recommend the strategic documents are updated to reflect the three-year timeframe covered by the financial plan to ensure they are aligned with the financial capabilities of the Board. As part of the financial planning process, the partnership should review the strategic objectives for the coming year and determine whether any revisions need to be made. This should follow the initial draft budget so that there is clear oversight of financial pressures and achievable expectations are set.	Chief Officer and Chief Financial Officer	2	February 2025		There will be a triangulation between Strategic Objectives, Financial envelope, Workforce resource availability and Directions. The timescale will be reviewed in November 2024 to ascertain if ledger systems for 2024/25 are operative	

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<b>23/24 Financial Planning</b>	<p>We recommend the IJB Board requests a formal report from the Comhairle detailing the steps being taken to ensure ongoing financial monitoring can be undertaken as soon as possible and throughout 2024/25. This should include the progress towards budget finalisation, assurance that the data is correct and the timescales for budget monitoring to commence. Additionally, the Board should consider the need for an additional risk to be created on the Strategic Risk Register specifically related to the impact of the Cyber incident on the IJB financial planning and monitoring process.</p>	Chief Financial Officer	3	June 2024		<p>The current information (I previously got information in June) from the Chief Accountant was that the 23/34 data for the whole of the Comhairle has now been loaded into the re-built ledger and he is expecting to take a report to the next P&amp;R Committee. The Social Care Accountant will start preparing the year end figures and the CFO will finalise the draft Management and Governance Statements once the figures have been consolidated. The likelihood is that the draft accounts will come to the November Audit and IJB Board.</p> <p>There is no data for 24/25 as work has been on the 23/24 ledger build. Once that is completed then uploading from held spreadsheets will occur. The CFO will work with the SC Accountant to see if exception monitoring for Social Care at a high level could be produced for November schedule of Committees</p>	

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<b>23/24 Financial Planning</b>	As part of the draft clinical escalation process, the process should detail the timescales for each level of respondent. When issues are identified, the proposed and agreed resolutions should be documented in an action plan with assigned owners and deadlines for completion. Additionally, the IJB should consider alternative reporting arrangements if responses are not received in a timely manner, such as the option to report directly to the Board or Audit & Risk Committee in order to resolve delays to responses.	Chief officer and Chief Financial Officer	2	September 2024		<p>The IJB has designed an escalation framework to include timescale to guide decision making regarding whether an issue is for the Boards consideration or whether it remains within the operational domain of the HSCP</p> <p>Action complete</p>	 <p>IJB CC&amp;G escalation process draft Nov 2023</p>
<b>23/24 Corporate Governance</b>	We recommend that management ensure that Board members are given sufficient time to review reports prior to board meetings. This may include increasing the amount of time between papers being issued and the meeting dates.	Board Secretary	2	July 2024		<p>Deadlines are established for the receipt of paper and circulation via MS teams portal for Board Members</p> <p>Action complete</p>	See MS Teams file structure

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<b>23/24 Corporate Governance</b>	We recommend the Board and Audit and Risk Committee complete an annual self-assessment checklist which is utilised to identify and address any issues raised. Best practice guidance is available concerning the content of self-assessments. The results of the exercise should then be collated and used to agree actions to address any identified issues.	Board Chair and Audit and Risk Committee Chair	2	September 2024	Mar 2025	New Chairs are to come into post in September 2024. For completion within financial year	

# Appendix 1: Azets Risk Categorisations

## Management action grades

4	•Very high risk exposure - major concerns requiring immediate senior attention that create fundamental risks within the organisation.
3	•High risk exposure - absence / failure of key controls that create significant risks within the organisation.
2	•Moderate risk exposure - controls are not working effectively and efficiently and may create moderate risks within the organisation.
1	•Limited risk exposure - controls are working effectively, but could be strengthened to prevent the creation of minor risks or address general house-keeping issues.



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