Integration Joint Board Audit Committee 23.02.23 Special Meeting

Agenda Item:
Purpose: For Decision

INTEGRATION JOINT BOARD AUDIT COMMITTEE

INTERNAL AUDIT RECOMMENDATION TRACKER

Report noted as at January 2023

Management Responses

Appendix 2: Summary of outstanding actions

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status				
T1-19/20 - Audit:	2019/20 Risk Manage	ment	•				•				
Objective 1:	The IJB has in place a	Risk Managen	nent Strate	gy, Risk Mana	agement Polic	y and Strategic Risk Register all approved by the IJB					
Findings:						IJB in March 2016 with a review date of one year after implementation. The document havided with an updated copy of the policy/strategy document.	s yet to be reviewed				
	A strategic risk register is in place and is reviewed regularly. However, the register seems to omit key risks such as strategic officers being absent for a significant period of time. Con plans would need to be in place for the IJB to gain assurance that there is continuity in the delivery of strategic roles.										
	We also noted that the entry regarding governance arrangements has Audit Scotland and the Chief Auditor as being the responsible officers for that risk. The responsible officer should be corrected with the appropriate staff member as External/Internal audit would be part of the controls in place to reduce the risk as opposed to owning the risk.										
	The current risk management process appears to be satisfactory within each parent body. The difficulty, however, is the sharing of information between both parent bodies in matters relating to IJB provided services which can and do affect both bodies but neither is informed of this in a timely or coherent way.										
						ch could lead to peaks in delayed discharges. It is therefore important that a unified risk re ture to be obtained quickly and be reported, where required, to the IJB in a more timeous i					
Recom. 1	Risk management strategy and policy to b reviewed with updated version made available to staff.		3	Apr 20	Jan 23	A Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and will go to the Board for Approval in December. In addition, conversations are being had around putting Risk Registers into Datix moving forward.	Partially Complete				

Management Update noted as at January 2023

UPDATE 10.02.22 MMc – discussed with the Chief Officer

SITUATION: The Risk Management Strategy was not presented to the IJB however the revised corporate risk register was, along with the rationale for the change and noted the reduction of the 11 risks to a comprehensive, but still relevant, 5 risks to the Audit Committee.

The IJB is seeking to use the NHS risk system, Datix, for the storage and monitoring of the IJB Corporate Risks, and therefore it would be appropriate for the IJB to utilise the NHS Risk Management Strategy and policies.

The development of the NHS Risk Management Strategy & Policy is scheduled for completion by June 2023, therefore if the timescale is held, the IJBAC will be updated in Sept'23.

ACTION: MMc discussed this with the NHS Risk Manager, Ellena MacDonald. The Chief Officer will completed the risk assessment template for all 5 corporate risks, in turn this will be placed on the Datix system and a revised risk register template will be presented in Jun'23.

PROPOSAL: Propose timeframe changes

CHIEF OFFICER UPDATE Jan'23

Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and will go to the Board for Approval in December.

The risk register is now approved and an accompanying risk management strategy is being developed in line with the principles.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status						
T2-19/20 - Audit:	2019/20 Risk Manageme	ent											
Objective:	The IJB has in place a Ris	sk Manageme	ent Strateg	yy, Risk Mana	agement Polic	y and Strategic Risk Register all approved by the IJB							
Finding:	A risk management strategy and policy is in place and was approved by the IJB in March 2016 with a review date of one year after implementation. The document has yet to be therefore this should be carried out as soon as possible with staff being provided with an updated copy of the policy/strategy document.												
						egister seems to omit key risks such as strategic officers being absent for a significant periontinuity in the delivery of strategic roles.	od of time. Contingency						
						Scotland and the Chief Auditor as being the responsible officers for that risk. The responsible part of the controls in place to reduce the risk as opposed to owning the risk.	ible officer should be						
	The current risk management process appears to be satisfactory within each parent body. The difficulty, however, is the sharing of information between both parent bodies in matters relating to IJB provided services which can and do affect both bodies but neither is informed of this in a timely or coherent way.												
		An example of this may include vacant posts or staff leaving home care which could lead to peaks in delayed discharges. It is therefore important that a unified risk register is produced which mirrors key issues/risks across parent bodies. This would allow a bigger picture to be obtained quickly and be reported, where required, to the IJB in a more timeous manner.											
Recom 2	Risk register to be reviewed to include absence of key staff and other similar scenarios as well as updating responsible officers where appropriate	Chief Officer	2	Dec 19	Jan 23	A Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and will go to the Board for Approval in December. In addition, conversations are being had around putting Risk Registers into Datix moving forward.	Partially Complete						

UPDATE 10.02.22 MMc – discussed with the Chief Officer

SITUATION: The Risk Management Strategy was not presented to the IJB however the revised corporate risk register was, along with the rationale for the change and noted the reduction of the 11 risks to a comprehensive, but still relevant, 5 risks to the Audit Committee.

The IJB is seeking to use the NHS risk system, Datix, for the storage and monitoring of the IJB Corporate Risks, and therefore it would be appropriate for the IJB to utilise the NHS Risk Management Strategy and policies.

The development of the NHS Risk Management Strategy & Policy is scheduled for completion by June 2023, therefore if the timescale is held, the IJBAC will be updated in Sept'23.

ACTION: MMc discussed this with the NHS Risk Manager, Ellena MacDonald. The Chief Officer will completed the risk assessment template for all 5 corporate risks, in turn this will be placed on the Datix system and a revised risk register template will be presented in Jun'23.

PROPOSAL: Propose timeframe changes

CHIEF OFFICER UPDATE JAN'23

A Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and will go to the Board for Approval in December.

The CO has requested that the newly agreed Strategic Risk register is housed within the Datix System.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status						
T3-19/20 Audit:	2019/20 Risk Manageme	ent	•										
Objective:	The IJB has in place a Risk Management Strategy, Risk Management Policy and Strategic Risk Register all approved by the IJB												
Findings:						IJB in March 2016 with a review date of one year after implementation. The document has vided with an updated copy of the policy/strategy document.	s yet to be reviewed						
	A strategic risk register is in place and is reviewed regularly. However, the register seems to omit key risks such as strategic officers being absent for a significant period of time. Contingen plans would need to be in place for the IJB to gain assurance that there is continuity in the delivery of strategic roles.												
	We also noted that the entry regarding governance arrangements has Audit Scotland and the Chief Auditor as being the responsible officers for that risk. The responsible officer should be corrected with the appropriate staff member as External/Internal audit would be part of the controls in place to reduce the risk as opposed to owning the risk.												
	The current risk management process appears to be satisfactory within each parent body. The difficulty, however, is the sharing of information between both parent bodies in matters relating to IJB provided services which can and do affect both bodies but neither is informed of this in a timely or coherent way.												
		An example of this may include vacant posts or staff leaving home care which could lead to peaks in delayed discharges. It is therefore important that a unified risk register is produced which mirrors key issues/risks across parent bodies. This would allow a bigger picture to be obtained quickly and be reported, where required, to the IJB in a more timeous manner											
Recom. 1	Unified risk register to be implemented showing all risks across both parent bodies	Chief Officer	2	Apr 20	Jan 23	A Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and will go to the Board for Approval in December.	Partially Complete						
						In addition, conversations are being had around putting Risk Registers into Datix moving forward.							

UPDATE 10.02.22 MMc – discussed with the Chief Officer

SITUATION: The Risk Management Strategy was not presented to the IJB however the revised corporate risk register was, along with the rationale for the change and noted the reduction of the 11 risks to a comprehensive, but still relevant, 5 risks to the Audit Committee.

The IJB is seeking to use the NHS risk system, Datix, for the storage and monitoring of the IJB Corporate Risks, and therefore it would be appropriate for the IJB to utilise the NHS Risk Management Strategy and policies.

The development of the NHS Risk Management Strategy & Policy is scheduled for completion by June 2023, therefore if the timescale is held, the IJBAC will be updated in Sept'23.

ACTION: MMc discussed this with the NHS Risk Manager, Ellena MacDonald. The Chief Officer will completed the risk assessment template for all 5 corporate risks, in turn this will be placed on the Datix system and a revised risk register template will be presented in Jun'23.

PROPOSAL: Propose timeframe changes.

CHIEF OFFICER UPDATE

A Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and was approved in December 2022.

The unified risk register takes cognisance of the risks held by parent bodies

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status					
T4 – 19/20 Audit:	2019/20 Risk Manageme	nt	•	•			•					
Objective 2:	Governance and Risk Management arrangements together with adequate insurance provision are in place.											
Findings:	The Integrated HR Forum continued service provision					e significant risks affecting both organisations in terms of staffing, vacancies, workforce age ity.	profile and risk to					
	Whether the forum is continued, or another cross organisation process is adopted, 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. As part of this process, the Workforce Strategy requires updating and to be agreed by both parent bodies in relation to services proved on behalf of the IJB											
Recom. 4	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.	Chief Officer	2	Dec 19	Mar 23	Both parent bodies have developed their own workforce plan, as the IJB is not an employer and as such the workforce plans for the Parent Bodies informs the work of the IJB. The Chief Officer will present a headline paper to the Board influenced by these plans and the demographics within the western Isles. This will also cover initiatives such as working with NES on supporting career paths. This will be done in advance of the new financial year.	Partially Complete					

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T5-19/20 Audit:	2019/20 Risk Manageme	nt					
Objective 3:	The IJB has established a	Senior Risk	Managem	ent group wh	o meet regula	arly to discuss risk management issues and strategy implementation across both partner bo	dies.
Findings:	responsibility for risk mana The Integrated Corporate	agement, ho Managemen	wever, the	re does not a e given sight	ppear to be o	roviding the board with an oversight of the main strategic risks. Each partner organisation he single group that meets to discuss risk management issues at a strategic integrated lever risks, however, it would be beneficial to implement a senior integrated risk management tear and implementing formal risk escalation processes within the IJB.	ıl.
Recom. 1	Implementation of integrated strategic risk management group.	Chief Officer	2	Apr 20	Jan 23	The Integrated Corporate Management Team has membership from both parent bodies. The Risk Register and wider supporting risk management documents were considered by the ICMT prior to being presented to the Audit Committee and the Board. The Chief Officer considers the ICMT the most appropriate place for risk management to be considered as a separate meeting will consist of the same individuals under a different name.	Partially Complete

UPDATE 10.02.22 MMc – discussed with the Chief Officer

Reflecting on the position at November 2022, the Chief Officer has reconsidered the most appropriate review of Corporate Risk relating to the IJB.

The ICMT is the operational discussion forum for risks attributed to the Health & Social Care Partnership, but responsibility retained within the parent body. The Chief Officer attends these meetings and take cognisance of the parent body risks into consideration of the Corporate risks which may arise from a parent bodies' inability to deliver upon a Direction.

BACKGROUND - It is the role of the Chief Officer to consider the corporate risks of the IJB, and throughout the term of the IJB this has been accepted as autonomous entry with no further scrutiny. Following the departure of the then Chief Officer, Ron Culley, the Internal Auditor, Paul MacAskill CnES, advised that an alternative process was required which would remove self-governing process.

PROPOSAL – The Chief Officer has agreed to provide any future new corporate risk details to the IJB Audit Committee to scrutinise and assess for inclusion onto the IJB Corporate Risk Register.

ACTION – The above would require a change to the current IJB Standing Orders in relation to the Audit Committee Terms of Reference. Timescale proposed for the March 2023 IJB, following review by the Audit Committee on the 15.03.23.

CHIEF OFFICER UPDATE

The Integrated Corporate Management Team has membership from both parent bodies. The Risk Register and wider supporting risk management documents were considered by the ICMT prior to being presented to the Audit Committee and the Board.

The Chief Officer considers the ICMT the most appropriate place for risk management to be considered as a separate meeting will consist of the same individuals under a different name. Additional attendance will be invited as required.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T6 – 19/20 Audit:	2019/20 Risk Manageme	nt	•				
Objective 4:	Partner organisations have the Risk Management Po		d to the IJB	that risk is m	anaged effect	ively within each service area and that they adhere to and comply with their own Risk Man	agement Strategies and
Findings:	example, in the Comhairle year and what has been d Such documented process controls are in place within	e each Direct lone to mitig ses should be n each servi	tor is requi ate the risk be impleme ce area. Th	red to sign a so c going forward ented within the ne Chief Office	statement of a d. e IJB where a er should cons	his should be supported by verified certificates of assurance from senior officers across bossurance outlining that all key processes are in place and whether any significant matters had senior staff providing key services within the parent bodies formally provide assurance the sider these signed statements of assurance on receipt along with other regulatory and audit a Corporate Governance Statement.	nave occurred in the last the necessary
Recom. 2:	The Chief Officer should consider the signed statements of	Chief Officer	2	Apr 20	Mar 23	Arrangements will be put in place to ensure that appropriate assurances can be given to the IJB. This will be undertaken at the time of the IJB budget being agreed each	Partially Complete

UPDATE 10.02.22 MMc – discussed with the Chief Officer

BACKGROUND: The process within each Parent Body is different, however within the Comhairle there is sign-off by budget leads in relation to performance as noted in the "findings". The NHS provides assurance of its processes via the Assurance Statement from the Chief Executive of the NHS and noted within the Annual Accounts. The Scottish Government Auditor General has provided the same auditors to work across the three public bodies, NHS, CnES and IJB. The review across agencies should provide sufficient assurance as to the workings of risk and the management of risk within any one parent body via External Auditing process.

PROPOSAL: Discussion with Internal and External Auditors as to the appropriateness of the Chief Officer seeking that this action is removed as no longer appropriate given the change in External Auditors and revised processes.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status						
T7- 19/20 Audit:	2019/20 Financial Plann	ing, Manage	ement and	Savings		:	·						
Objective 1:	The Strategic Plan drives the financial strategy and provides the basis for the IJB to present proposals to the relevant parties to allow for any necessary redesign of services and transformational change, influence revenue and capital budgets and to enable the achievement of efficiency savings and the ability to make re-investment opportunities.												
Findings:	require both documents to	be revisited	d and eithe	r extended wi	th regards to t	implemented for the period 2018/20. As the refresh document is due to expire in the comir he period they cover or updated and reissued with current and updated plans being made	available online.						
	now the standard medium					y in place as approved by committee in March 2019. However, this should be extended to	a five year plan which is						
	Whilst we acknowledge that any long term planning is difficult with annual settlements, appropriate use of sensitivity analysis and probability planning can be useful in terms of giving a high level overview.												
	There is also a need to link the three key documents; Financial Strategy, Workforce Plan and Strategic Plan, to allow a formulated response to be made by the IJB in order to deliver its aspirations and services within budget and within staff availability. These aspirations of output should be documented and SMART based in terms of accountability, progress monitoring and tangible in terms of change.												
Recom 1:	Strategic plan/refresh to be reviewed as required and current plan to be made available online.	Chief Officer	3	Dec 19	Mar 23	A new strategy is being worked on and will go out for consultation. Upon completion of the new strategy the website will be updated. As part of this a new Financial Plan will be developed supporting the length of the plan.	Partially Complete						
Managomont II	ndate noted as at January	2023											

CHIEF OFFICER UPDATE

A new strategy is being developed following the IJB development session. Upon completion of the approved new strategy the website will be updated. As part of this a new Financial Plan will be developed supporting the length of the plan.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status					
T8-19/20 Audit:	2019/20 Financial Planni	ng, Manage	ment and	Savings		•	•					
Objective 3:	The long term financial planning process has been communicated effectively to the IJB Board members, partner organisations and the general public and the IJB has published what it intends to spend in implementing its Strategic Plan.											
Findings:	within the covering report that this was due to time p	ports and an submitted to ressures and	the board	unts are not a d regarding the ller engageme	e financial pla ent process wo	nce Officer with the board also being provided with financial updates each quarter. However website. These should be made available for the public to view and potentially provide fear, it was stated that public engagement within the financial planning process had been limited by the carried out earlier in the next planning cycle. Sopriate as the current version is now out of date.	edback on.					
Recom 1:	Spending plans, annual accounts and annual reports to be published on the IJB website.	Chief Officer	3	Dec 19	Mar 23	This action remains ongoing	Incomplete					

UPDATE 10.02.22 MMc – discussed with the Chief Officer

BACKGROUND: All reports presented to the IJB are on the website, however they are not presented in another location other than contained within the relevant board papers folder.

ACTION: Consideration is being given to purchasing a new website to enable a complete review of the site and the information contained within it. However consideration on the financial cost of amending the existing website ahead of the proposed NSC has to be assessed given the financial constraints of the IJB which focusses on the provision of treatment and care.

PROPOSAL: Discuss with the CnES IT colleague to remove some sections within the existing website and update the "publication" section with relevant reports / strategies approved by the IJB.

CHIEF OFFICER UPDATE

All reports relating to the budget presentation and the formal update on the monthly fiscal position is presented to the IJB & IJBAC by Section 95 Officer Suggest Committee note completed and remove

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status				
T9-19/20 Audit:	2019/20 Financial Planni	ing, Manage	ement and	Savings			•				
Objective 3:	The long term financial planning process has been communicated effectively to the IJB Board members, partner organisations and the general public and the IJB has published what it intends to spend in implementing its Strategic Plan.										
Findings:	spending plans, annual re Within the covering report	ports and ar	nnual accor	unts are not a	available on the e financial pla	nce Officer with the board also being provided with financial updates each quarter. He website. These should be made available for the public to view and potentially proven, it was stated that public engagement within the financial planning process had becould be carried out earlier in the next planning cycle.	ride feedback on.				
	The Communication Stra	itegy also red	quires revi	ewing and up	dating as appr	opriate as the current version is now out of date.					
Recom 3:	Communication/Engag ement Strategy to be updated.	Chief Officer	3	Apr 21	Jun 23	This remains ongoing. The current plan is still in place but requires updating.	Incomplete				

CHIEF OFFICER UPDATE
This is linked to the new guidance on Planning with People which SG intends to implement in autumn 2023.

Suggest a review of the timescale is agreed to November 2023 to enable the implementation of the revised guidance.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T10-20/21 Audit:	2020/21 Workforce Plan	nning and O	rganisatio	nal Developn	nent	·	
Objective 1:	A medium to long term	n workforce	strategy is	in place wh	ich is aligned	d with business needs and outcomes and is consistent with the financial strategy ar	nd strategic plan.
Findings:	required across both orgative Without an integrated wo workforce plan in place the action plan will need to be the action plan	anisations to rkforce plan his is a matte e implement ublished on the 19 identified hagement Tetates that the arent body a	support the there is no er that will need detailing the IJB's we that the Internal meeting development of the them to be the them the the them the the them the the them the the the them the them the the them the them the them the the the the the the the the the th	e strategy. Ho breakdown of eed to be fun action points ebsite is out of regrated HR F gs. ent of an integet within the of	owever, it is un f SMART delived damental to its s, responsible of date and rece Forum had not grated workfor context of integ	quires to be replaced with the latest version. This is also the case with regards to the strate met for some time. We understand that the forum is still in abeyance although HR matter common to the control of the transfer of the control of the transfer of the case with regards to the strate of the case with regards to the case with regards to the case with regards to the strate of the case with regards to th	reported to the board. re an integrated ised a comprehensive egic plan. s are discussed at the
Recom. 1:	An Integrated Workforce Plan is implemented with progress on action points communicated regularly to the board.	Chief Officer	1	Review by April 21	Mar-23	Both parent bodies have developed their own workforce plan, as the IJB is not an employer and as such the workforce plans for the Parent Bodies informs the work of the IJB. The Chief Officer will present a headline paper to the Board influenced by these plans and the demographics within the western Isles. This will also cover initiatives such as working with NES on supporting career paths. This will be done in advance of the new financial year.	Partially Complete

Management Update noted as at January 2023 CHIEF OFFICER UPDATE

Both parent bodies have developed their own workforce plan, as the IJB is not an employer and as such the workforce plans for the Parent Bodies informs the work of the IJB. The Chief Officer will present a headline paper to the Board influenced by these plans and the demographics within the Western Isles. This will also cover initiatives such as working with NES on supporting career paths.

Workforce Plan is available for NHS WI awaiting sign off for CnES to support joint plan.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status					
T11-20/21 Audit:	2020/21 Workforce Plan	nning and C	Organisatio	onal Developr	ment		•					
Objective 1:	A medium to long term workforce strategy is in place which is aligned with business needs and outcomes and is consistent with the financial strategy and strategic plan.											
Findings:	required across both orgal Without an integrated work workforce plan in place this action plan will need to be The workforce strategy put An audit carried out in 201 Integrated Corporate Man The workforce strategy strat	nisations to kforce plan is is a matte implemente blished on the lagement Testates that the arent body and the lagement the lagement body and the lagement below the lagement bel	support the there is no er that will need detailing the IJB's we that the Internet meeting edevelopment being meeting the support of the supp	e strategy. Howele breakdown of eed to be fund action points, ebsite is out of egrated HR F gs. The property of an interpret within the content of an interpret of the strategy of the strategy.	wever, it is un SMART delived damental to its presponsible of date and requirements for the second workforce on text of intesting the second workforce on the second workforce	puires to be replaced with the latest version. This is also the case with regards to the strate met for some time. We understand that the forum is still in abeyance although HR matters arce will be overseen by the HR forum and that the forum would be responsible for ensuring grated services. Consideration should therefore be given to whether the group is reinstate	reported to the board. e an integrated sed a comprehensive gic plan. s are discussed at the					
Recom 2:	Strategic documentation published on the website to be updated with the latest versions.	Chief Officer	3	Apr 21	Mar 23	The website is up to date currently. 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.	Partially Complete					

Management Update noted as at January 2023
UPDATE 10.02.22 MMc – discussed with the Chief Officer

BACKGROUND: All reports presented to the IJB are on the website, however they are not presented in another location other than contained within the relevant board papers folder.

ACTION: Consideration is being given to purchasing a new website to enable a complete review of the site and the information contained within it. However consideration on the financial cost of amending the existing website ahead of the proposed NSC has to be assessed given the financial constraints of the IJB which focusses on the provision of treatment and care.

PROPOSAL: Discuss with the NHSWI Corporate Business Manager & CnES IT Department to remove some sections within the existing website and update the "publication" section with relevant strategies approved by the IJB. Request timescale extended to link into the T17 audit on the Publication Scheme Review. This will be linked into T17-

CHIEF OFFICER UPDATE

The website will be updated upon completion of the above

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status						
T12-19/20 Audit:	2020/21 Workforce Planning and Organisational Development												
Objective 3:	Appropriate succession planning is in place with regards to strategic roles with all tasks delegated to relevant officers.												
Findings:	place although we unders continuing to meet its star The lack of CO has poten delay to some workstrear	stand that the tutory obligat stially left the ns, the lack of n covers the	ere are inte tions by no IJB withou of CO could period 202	erim line mana t having an Ir at the required d pose a furth 20/21. As indic	agement arrang sterim CO in plant d level of strate ser risk to the la	ost has been vacant since April and was subsequently advertised at the end of August. The gements in place for senior management as reported to the IJB in June. The IJB will need to ace. gic drive required for the past six months. Although we recognise that Covid-19 will already IJB in achieving its aims with regards to its strategic plan. nt report to the IJB this along with the integration scheme are both due to be reviewed there	o consider whether it is have likely caused a						
Recom 2:	Strategic plan and integration scheme to be reviewed.	Chief Officer	2	Apr 21	Draft by 31 Dec 2022 Final sign off Feb 2023	Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. In addition a new strategic plan is being developed.	Partially Complete						

Management Update noted as at January 2023
CHIEF OFFICER UPDATE
Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. In addition a new strategic plan is being developed. Still outstanding from Head of Law & Governance.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status			
T13-21/22 Audit:	2021/22 Consultation, Participation and Engagement									
Objective 1:	The IJB has strategies and policies in place governing communication, consultation, participation, and engagement processes and receives updates from its parent bodies on relevant consultations. The National Standards for Community Engagement are adhered to along with relevant legislation.									
Findings:	now out of date and require documents, to incorporate audit report and an update. The National Standards for engagement, helping orgat pandemic. The guide is air recognise the importance of conducting engagement expenses.	ed to be revivarious nation will be prover Community nisations to med at helpinof the Nation xercises. The ton key less	ised. We conal guidatided in duty Engager benchmang organishal Standatere is also sons that	understand that ance document le course. ment (NSfCE) and their own persations engage ards. However, by a self-review have been lear	are discussed formance age communities it is important form which acroed in conclusion.	d Engagement Strategy in 2016, both covering the period up to 2019. A previous audit indice bandemic has affected progress, the relevant officers are in the process of updating and coworks spanning Health and Social Care. This matter has also already been the subject of a divining with the current strategy. These are a set of best practice principles that promote effecting gainst each standard. A revised guide to the NSfCE was published in September 2020 in light additional and after the pandemic in order to support recovery and renewal. The current strates at that this new guide is considered throughout the refresh of the Participation Strategy and companies the NSfCE. This tool helps organisations review their own performance against adding the engagement exercise and next steps to be taken. Consideration should be given	mbining these concurrent follow up ve community that of the Covid-19 egy documents also when planning and at each standard and			
Recom 1:	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.	Chief Officer	3	Once the system moves out of emergen cy footing	Jun 23	This action is still ongoing, the plan is still in place but requires revision. The staff responsible for undertaking the revisions are currently off with sickness. The role of the PPG is also a part of this as they have community representation on them.	Incomplete			

CHIEF OFFICER UPDATE
This is linked to the new guidance on Planning with People which SG intends to implement in autumn 2023.

Suggest a review of the timescale is agreed to November 2023 to enable the implementation of the revised guidance.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status		
T14-21/22 Audit:	2021/22 Consultation, P	Participation	n and Eng	agement			•		
Objective 2:	The information on the IJB website is kept up to date in order to provide the public and other stakeholders with accessible and timely information.								
Findings:	only references previous of outcome of all consultation. Previous audits have also updates had been posted, Event. We recognise that given the order to provide a further provide take cognisance, however.	consultations n and engag shown that however, the ne current prolatform whe ever, that no	s on advoc gement exe the websit ne last entr ressures fa ere regular	eacy and the carcises undertage contains out by is dated 27 and acced by the IJI acced by the IJI	are units. Alth aken by the IJ of date documents of the IJ of IJ of the IJ of IJ	ken in recent years, however, the IJB website appears to contain limited information on the ough we understand that feedback is given through various methods including the groups B should be included on the website or through signposting to the relevant partner's website ments in some cases. Furthermore, the site contains a section, where previously, regular signiliarly, the press release section contains only one article from 2017 relating to a Dement e website may not be a priority task. However, this is something that should be progressed within Health and Social Care can be communicated to the public. Indeed, the website and other methods may be more appropriate depending on the target owever, given the 'virtual' nature of the current climate, the website should still be a key contains.	mentioned above, the ite. service development ia Strategy Engagement d as resources allow in t group. As discussed		
Recom 1:	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.	Chief Officer	3	Once the system moves out of emergen cy footing	Jun 23	This action is still ongoing, the plan is still in place but requires revision. The staff responsible for undertaking the revisions are currently off with sickness. The role of the PPG is also a part of this as they have community representation on them.	Incomplete		

CHIEF OFFICER UPDATE

This is linked to the new guidance on Planning with People which SG intends to implement in autumn 2023

Suggest a review of the timescale is agreed to November 2023 to enable the implementation of the revised guidance.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T15-19/20 Audit:	2019/20 Business Conti	inuity Plan	ning and D	Disaster Reco	very		i
Objective 1:	There is an IJB busines recovery.	s continuit	ty manage	ment policy a	and supporti	ng procedures in place which identifies the organisation's mission critical activities	and prioritised
Findings:	Although each partner org appropriate BC arrangements business continuity plans a	utline what it panisation ha ents are in p are in place	t expects from the ability of the leading to the le	om partner org ty to raise any IJB should cor date.	ganisations. BC issues fonsider gaining	in place. Although Business Continuity should be managed within each partner organisation or potential inclusion on the risk register there is no formal assurance presently being provide formal confirmation from each partner organisation, as part of the annual assurance state with assurance again provided to the board that this is in place and operating as expected.	led to the IJB that
Recom 1:	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	Feb 23	There is a lack of clarity around how Boards provide assurance around the effectiveness of BCP activities A conversation needs to be had with Chief Execs on what and how it should be reported on.	Partially Complete

Management Update noted as at January 2023 CHIEF OFFICER UPDATE

Recommendation that copies of BCP are made available for the March IJB. Documents to provide assurance re BCP and for noting

Suggest consideration of a revised timescale for March 2023.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status			
T16-19/20 Audit:	2019/20 Business Cont	inuity Planr	ning and D	Disaster Reco	very					
Objective 2:	There is an IJB business	There is an IJB business continuity management policy and supporting procedures in place which identifies the organisation's mission critical activities and prioritised recovery.								
Findings:	The responsibility of having the appropriate IT controls in place is similar to that of business continuity being the responsibility of each individual organisation. As IT and related disaster recovery issues could have a major impact on service delivery the IJB should be aware of any potential risks involved as a result of not having the necessary controls in place. The IJB should consider gaining annual assurance from each partner organisation that appropriate IT systems, controls, arrangements with third parties and disaster recovery systems are all in place, have been tested and are operating effectively. Assurance should also be sought that appropriate budgetary provision has been made for this matter within the budget setting cycle of each organisation.									
Recom 1:	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	Feb 23	There is a lack of clarity around how Boards provide assurance around the effectiveness of BCP activities A conversation needs to be had with Chief Execs on what and how it should be reported on.	Partially Complete			

Management Update noted as at January 2023
CHIEF OFFICER UPDATE
CO is seeking assurance from respective IT leads re compliance.

Suggest consideration of a revised timescale for March 2023.

Tracker No / Report	Recommendation	Action Owner	Grade		Revised timescale	Management Update November 2022	Status
T17-21/22 Audit:	2021/22 Information Go	vernance a	nd Data S	haring		•	•
Objective 2:	The IJB has an up to date	e Publication	Scheme	in place which	is available o	on its website	
Findings:	which are either invalid or most public organisations The IJB website has a public organization.	incorrect wit choose to do olications see he website a	h contact o. ction, how	details also ou	it of date. The	act requirements, with the current version approved in 2019. The document conton scheme is not provided on the IJB website, which as stated on the Information some of the documents referred to in the scheme, such as the annual accounts luals trying to locate a specific document. In general, the publication scheme approved in 2019. The document scheme approved in 2019. The document scheme approved in 2019. The document scheme is not provided on the IJB website, which as stated on the Information	Commissioner's Office website, Consideration should be given to
Recom 1:	Publication scheme to be reviewed and updated with consideration given to publishing the updated	Chief Officer	3	Once the system moves out of emergen	Jun 23	This action is still ongoing, the plan is still in place but requires revision.	Partially Complete

UPDATE 10.02.22 MMc – discussed with the Chief Officer

BACKGROUND: The IJB completed its Publication Scheme update in September 2019, however this is now linked to the other management responses in line with the need to review and potentially purchase a new website, which is dependent on the outcome of the NCS.



Publication Scheme (IJB 26.09.19).docx

PROPOSAL: Discuss with the NHS Corporate Business Manager to ascertain whether the links noted within the 2019 publication scheme are still relevant and appropriate and where necessary update the contact details.

Timescale change to September 2023 to enable collective review in line with the review of the website publications.

Outcome is linked to:

2019/20 Financial Planning, Management & Savings Objective 1 / rec 1 + Objective 3 / Rec 1 2020/21 Workforce Planning & Organisational Development Objective 1 / Rec 2

CHIEF OFFICER UPDATE

This action is still ongoing, the plan is still in place but requires revision.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status			
T18-21/22 Audit:	2021/22 Scheme Review									
Objective 1:	There are arrangements	There are arrangements in place to review the Integration Scheme in line with Scottish Government requirements								
Findings:	The integration scheme is required to be reviewed within 5 years of implementation with the original deadline being 16 June 2020. In March 2020 the Scottish Government stated that they would not require a full review to be carried out at that time due to the onset of the coronavirus pandemic and that, as a minimum, an initial review should be fulfilled. It also noted that the current integration scheme would remain in place until such time when a successor scheme be produced, if required.									
	A report submitted to the IJB in September 2020 reiterated the need for an initial review, suggesting that dispute resolution be one area covered, and further recommended that a complete review be carried out by 1 April 2021 once a Chief Officer was in post. The board subsequently agreed that a full review be carried out as above.									
	A letter issued to all IJB's in August 2021 reiterated that scheme reviews were still outstanding in some areas and that this was still required, notwithstanding the NCS Consultation, as it was envisaged that the NCS would likely be in place by the end of the parliamentary term. It went on to request a timeline when reviews and related consultations would be undertaken and stated that, given the timescales for the NCS to be in place, scheme reviews must now be done at pace.									
		garding the c	outcome o	f the NCS con	sultation, this	me, it has not been possible to undertake a full review of the scheme. We were also information would be provided, however, this would likely be into April 2022. Furthermore, we understated dertaken.				
	We were later informed th scheme is still required in					taken focusing specifically on dispute resolution. However, the board should consider whe	ther a full review of the			
						s on this matter. An update should also be provided to the Scottish Government as appropill be complete including any consultation processes that may be required.	riate as to the current			
Recom 1:	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 emergen cy footing	Draft by Dec 2022 Final sign off 29 Feb 2023	Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. A light tough review was also completed through covid.	Partially Complete			

Management Update noted as at January 2023 CHIEF OFFICER UPDATE

Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. A light tough review was also completed through covid.

Suggest that the revised date is amended to March 2023 for the presentation of the draft document.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status		
T19-21/22 Audit:	2021/22 Scheme Review	v				•	•		
Objective 1:	There are arrangements in place to review the Integration Scheme in line with Scottish Government requirements								
Findings:	The integration scheme is required to be reviewed within 5 years of implementation with the original deadline being 16 June 2020. In March 2020 the Scottish Government stated that they would not require a full review to be carried out at that time due to the onset of the coronavirus pandemic and that, as a minimum, an initial review should be fulfilled. It also noted that the current integration scheme would remain in place until such time when a successor scheme be produced, if required.								
	A report submitted to the IJB in September 2020 reiterated the need for an initial review, suggesting that dispute resolution be one area covered, and further recommended that a complete review be carried out by 1 April 2021 once a Chief Officer was in post. The board subsequently agreed that a full review be carried out as above.								
	A letter issued to all IJB's in August 2021 reiterated that scheme reviews were still outstanding in some areas and that this was still required, notwithstanding the NCS Consultation, as envisaged that the NCS would likely be in place by the end of the parliamentary term. It went on to request a timeline when reviews and related consultations would be undertaken and that, given the timescales for the NCS to be in place, scheme reviews must now be done at pace.								
	We understand that due to the pressure on Health and Social Care at this time, it has not been possible to undertake a full review of the scheme. We were also informed that once more information was known regarding the outcome of the NCS consultation, this would be provided, however, this would likely be into April 2022. Furthermore, we understand that it had been agreed with the Scottish Government that a "light touch" review could be undertaken.								
	We were later informed th scheme is still required in					taken focusing specifically on dispute resolution. However, the board should consider whe	ther a full review of the		
						ss on this matter. An update should also be provided to the Scottish Government as appropill be complete including any consultation processes that may be required.	oriate as to the current		
Recom 1:	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 emergen cy footing	Draft by Dec 2022 Final sign off 29 Feb 2023	Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. A light tough review was also completed through covid.	Partially Complete		

Management Update noted as at January 2023 CHIEF OFFICER UPDATE

Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. A light tough review was also completed through covid.

Suggest that the revised date is amended to March 2023 for the presentation of the draft document.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T20-21/22 Audit:	2021/22 Scheme Review	v					•
Objective 4:	Where any amendments	are made to	the Integr	ration Scheme	e, an updated v	version is placed on the IJB's website.	
Findings:						stated above, remains in place until the time that a review is carried out with any potential nts for any future amended version of the scheme to be placed on the website as appropr	
Recom 1:	Where any amendments are made to the current scheme, any successor scheme should be placed on the website	Chief Officer	3	Once the system moves out of emergen cy footing	Draft by Dec 2022 Final sign off 29 Feb 2023	Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. A light tough review was also completed through covid.	Partially Complete

CHIEF OFFICER UPDATE

Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. A light tough review was also completed through covid.

Suggest that the revised date is amended to March 2023 for the presentation of the draft document.

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T21-21/22 Audit:	2021/22 Scheme Review	w	•				
Objective 5:	Associated high level do	cuments suc	h as the F	inancial Regu	lations are rev	riewed periodically	
Findings:						vebsite. The document states that it is required to be reviewed at least annually. During on nvisaged that this will be undertaken by June 2022, to allow for the current pressures being the control of the current pressures and the current pressures being the current pressures and the current pressures are control of the current pressures and the current pressures are control of the current pressures and the current pressures are control of the current pressures and the current pressures are control of the current pressures and the current pressures are control of the current pressures and the current pressures are control of the current pressures and the current pressures are control of the current pressures and the current pressures are control of the current pressures and the current pressures are control of the current pressures and the current pressures are control of the current pressures and the current pressures are control of the current pressures are contro	
Recom 1:	Financial Regulations to be reviewed and submitted to the board	Chief Officer	3	Jun-22	Mar 23	Financial Regulations to be reviewed and submitted to the board for approval with annual reviews implemented thereafter.	Partially Complete

CHIEF OFFICER UPDATE

The revised Regulations were presented to the IJB in June 2022 and approved

PROPOSAL - As the papers will form part of the annual work plan, this items could be removed ~ seek agreement from the IJB Audit Committee



Financial Regulations (IJB 30.06.22).pdf

Appendix 3: Risk Categorisations

Grade	Description
Grade 1	Critical – High Likelihood, High Impact (HH)
	The weakness is almost bound to happen or is already happening (likelihood) and could have a significant impact on the Comhairle's services, reputation, control, financial position, statutory, regulatory or constitutional compliance if not contained.
Grade 2	Contingent/Insurable Risk – Low Likelihood, High Impact (LH)
	The weakness is unlikely to happen but would have a significant impact on the Comhairle's services, reputation, control, financial position, statutory, regulatory or constitutional compliance if it did occur.
Grade 3	Housekeeping – High Likelihood, Low Impact (HL)
	The weakness is almost bound to happen or is already happening but is unlikely to have a material impact on the Comhairle's services, reputation, control, financial position, statutory, regulatory or constitutional compliance, and can be contained.
Grade 4	Value for Money – High Likelihood, Value for money impact (HV)
	The weakness is almost bound to happen or is already happening but if contained would have a positive impact on economy, efficiency and effectiveness in the use of resources.