

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 Management						
Objective 1:	The IJB has in place a Risk Management Strategy, Risk Management Policy and Strategic Risk Register all approved by the IJB						
Findings:	<p>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 reviewed therefore this should be carried out as soon as possible with staff being provided with an updated copy of the policy/strategy document.</p> <p>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. Contingency plans would need to be in place for the IJB to gain assurance that there is continuity in the delivery of strategic roles.</p> <p>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.</p> <p>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.</p> <p>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.</p>						
Recom. 1	Risk management strategy and policy to be reviewed with updated version made available to staff.	Chief Officer	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
<p>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.</p> <p>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.</p> <p>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.</p> <p>PROPOSAL: Propose timeframe changes ***</p> <p>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.</p>							

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T2-19/20 - Audit:	2019/20 Risk Management						
Objective:	The IJB has in place a Risk Management Strategy, Risk Management Policy and Strategic Risk Register all approved by the IJB						
Finding:	<p>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 reviewed therefore this should be carried out as soon as possible with staff being provided with an updated copy of the policy/strategy document.</p> <p>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. Contingency plans would need to be in place for the IJB to gain assurance that there is continuity in the delivery of strategic roles.</p> <p>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.</p> <p>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.</p> <p>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.</p>						
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	<p>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.</p> <p>In addition, conversations are being had around putting Risk Registers into Datix moving forward.</p>	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

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 Management						
Objective:	The IJB has in place a Risk Management Strategy, Risk Management Policy and Strategic Risk Register all approved by the IJB						
Findings:	<p>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 reviewed therefore this should be carried out as soon as possible with staff being provided with an updated copy of the policy/strategy document.</p> <p>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. Contingency plans would need to be in place for the IJB to gain assurance that there is continuity in the delivery of strategic roles.</p> <p>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.</p> <p>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.</p> <p>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</p>						
Recom. 1	Unified risk register to be implemented showing all risks across both parent bodies	Chief Officer	2	Apr 20	Jan 23	<p>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.</p> <p>In addition, conversations are being had around putting Risk Registers into Datix moving forward.</p>	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

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

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Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T5-19/20 Audit:	2019/20 Risk Management						
Objective 3:	The IJB has established a Senior Risk Management group who meet regularly to discuss risk management issues and strategy implementation across both partner bodies.						
Findings:	We were informed that the risk register is reported to each IJB committee providing the board with an oversight of the main strategic risks. Each partner organisation has groups with responsibility for risk management, however, there does not appear to be one single group that meets to discuss risk management issues at a strategic integrated level. The Integrated Corporate Management Team are given sight of escalated risks, however, it would be beneficial to implement a senior integrated risk management team to further promote risk management. This group should be responsible for measuring risk maturity and implementing formal risk escalation processes within the IJB.						
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
<p>Management Update noted as at January 2023</p> <p>UPDATE 10.02.22 MMc – discussed with the Chief Officer</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>***</p> <p>CHIEF OFFICER UPDATE</p> <p>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.</p> <p>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.</p>							

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Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T8-19/20 Audit:	2019/20 Financial Planning, Management 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:	<p>Comprehensive, monthly financial reporting is undertaken by the Chief Finance Officer with the board also being provided with financial updates each quarter. However, current and future spending plans, annual reports and annual accounts are not available on the website. These should be made available for the public to view and potentially provide feedback on.</p> <p>Within the covering report submitted to the board regarding the financial plan, it was stated that public engagement within the financial planning process had been limited. We were informed that this was due to time pressures and that a fuller engagement process would be carried out earlier in the next planning cycle.</p> <p>The Communication Strategy also requires reviewing and updating as appropriate as the current version is now out of date.</p>						
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

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 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

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Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T11-20/21 Audit:	2020/21 Workforce Planning and Organisational Development						
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:	<p>The workforce strategy was updated and submitted to the board in December 2019 and covers the period 2019-22. The previous version contained an action plan detailing agreed outputs required across both organisations to support the strategy. However, it is unclear as to whether this action plan is still in place and whether progress is being routinely reported to the board. Without an integrated workforce plan there is no breakdown of SMART deliverables which makes it harder to define and report progress. As the IJB is required to have an integrated workforce plan in place this is a matter that will need to be fundamental to its considerations in achieving success. In order for the objectives of the strategy to be realised a comprehensive action plan will need to be implemented detailing action points, responsible officers and timeframes.</p> <p>The workforce strategy published on the IJB’s website is out of date and requires to be replaced with the latest version. This is also the case with regards to the strategic plan. An audit carried out in 2019 identified that the Integrated HR Forum had not met for some time. We understand that the forum is still in abeyance although HR matters are discussed at the Integrated Corporate Management Team meetings.</p> <p>The workforce strategy states that the development of an integrated workforce will be overseen by the HR forum and that the forum would be responsible for ensuring that the statutory responsibilities of each parent body are being met within the context of integrated services. Consideration should therefore be given to whether the group is reinstated as this would provide a specialist forum for HR matters to be discussed as per the intentions of the strategy.</p>						
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:	The IJB has a statutory obligation to appoint a Chief Officer (CO). The CO post has been vacant since April and was subsequently advertised at the end of August. There is no Interim CO in place although we understand that there are interim line management arrangements in place for senior management as reported to the IJB in June. The IJB will need to consider whether it is continuing to meet its statutory obligations by not having an Interim CO in place.						
	The lack of CO has potentially left the IJB without the required level of strategic drive required for the past six months. Although we recognise that Covid-19 will already have likely caused a delay to some workstreams, the lack of CO could pose a further risk to the IJB in achieving its aims with regards to its strategic plan.						
	The current Strategic Plan covers the period 2020/21. As indicated in a recent report to the IJB this along with the integration scheme are both due to be reviewed therefore arrangements will need to be put in place to commence this process.						
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:	<p>The IJB approved a Communications Strategy along with a Participation and Engagement Strategy in 2016, both covering the period up to 2019. A previous audit indicated that these were now out of date and required to be revised. We understand that, whilst the pandemic has affected progress, the relevant officers are in the process of updating and combining these documents, to incorporate various national guidance documents and frameworks spanning Health and Social Care. This matter has also already been the subject of a concurrent follow up audit report and an update will be provided in due course.</p> <p>The National Standards for Community Engagement (NSfCE) are discussed within the current strategy. These are a set of best practice principles that promote effective community engagement, helping organisations to benchmark their own performance against each standard. A revised guide to the NSfCE was published in September 2020 in light of the Covid-19 pandemic. The guide is aimed at helping organisations engage communities during and after the pandemic in order to support recovery and renewal. The current strategy documents recognise the importance of the National Standards. However, it is important that this new guide is considered throughout the refresh of the Participation Strategy and also when planning and conducting engagement exercises. There is also a self-review form which accompanies the NSfCE. This tool helps organisations review their own performance against each standard and encourages users to reflect on key lessons that have been learned in concluding the engagement exercise and next steps to be taken. Consideration should be given to promoting its use in order to promote a consistent approach to logging lessons learned.</p>						
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 emergency 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
Management Update noted as at January 2023							
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, Participation and Engagement						
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:	<p>There have been a number of consultations/engagement exercises undertaken in recent years, however, the IJB website appears to contain limited information on the results of these and only references previous consultations on advocacy and the care units. Although we understand that feedback is given through various methods including the groups mentioned above, the outcome of all consultation and engagement exercises undertaken by the IJB should be included on the website or through signposting to the relevant partner's website. Previous audits have also shown that the website contains out of date documents in some cases. Furthermore, the site contains a section, where previously, regular service development updates had been posted, however, the last entry is dated 27 June 2019. Similarly, the press release section contains only one article from 2017 relating to a Dementia Strategy Engagement Event.</p> <p>We recognise that given the current pressures faced by the IJB, updating the website may not be a priority task. However, this is something that should be progressed as resources allow in order to provide a further platform where regular updates on developments within Health and Social Care can be communicated to the public.</p> <p>We take cognisance, however, that not all members of the public will have access to the website and other methods may be more appropriate depending on the target group. As discussed above, a number of methods are currently used to engage with the public, however, given the ‘virtual’ nature of the current climate, the website should still be a key consideration for development.</p>						
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 emergency 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
Management Update noted as at January 2023 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 Continuity Planning and Disaster Recovery						
Objective 1:	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:	<p>At present the IJB does not have an overarching business continuity policy in place. Although Business Continuity should be managed within each partner organisation the IJB should set out its BC policy in order to outline what it expects from partner organisations.</p> <p>Although each partner organisation has the ability to raise any BC issues for potential inclusion on the risk register there is no formal assurance presently being provided to the IJB that appropriate BC arrangements are in place. The IJB should consider gaining formal confirmation from each partner organisation, as part of the annual assurance statement, that organisational business continuity plans are in place and up to date.</p> <p>Business impact analysis should also be carried out for each service area with assurance again provided to the board that this is in place and operating as expected.</p>						
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 Continuity Planning and Disaster Recovery						
Objective 2:	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:	<p>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.</p> <p>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.</p>						
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
<p>Management Update noted as at January 2023 CHIEF OFFICER UPDATE CO is seeking assurance from respective IT leads re compliance.</p> <p>Suggest consideration of a revised timescale for March 2023.</p>							

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T17-21/22 Audit:	2021/22 Information Governance and Data Sharing						
Objective 2:	The IJB has an up to date Publication Scheme in place which is available on its website						
Findings:	<p>The IJB has a publication scheme, in line with the Freedom of Information Act requirements, with the current version approved in 2019. The document contains a high number of weblinks which are either invalid or incorrect with contact details also out of date. The scheme is not provided on the IJB website, which as stated on the Information Commissioner’s Office website, most public organisations choose to do.</p> <p>The IJB website has a publications section, however, this does not contain some of the documents referred to in the scheme, such as the annual accounts. Consideration should be given to providing the scheme on the website as this could be a useful aid for individuals trying to locate a specific document. In general, the publication scheme appears to be out of date and requires to be reviewed and updated.</p>						
Recom 1:	Publication scheme to be reviewed and updated with consideration given to publishing the updated scheme on the website.	Chief Officer	3	Once the system moves out of emergency footing	Jun 23	This action is still ongoing, the plan is still in place but requires revision.	Partially Complete
Management Update noted as at January 2023 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. <div style="text-align: center;">  Publication Scheme (IJB 26.09.19).docx </div> 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 in place to review the Integration Scheme in line with Scottish Government requirements						
Findings:	<p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>We were later informed that an informal "light touch" review, has been undertaken focusing specifically on dispute resolution. However, the board should consider whether a full review of the scheme is still required in line with its original request as outlined above.</p> <p>The Chief Officer will need to provide the IJB with an update of any progress on this matter. An update should also be provided to the Scottish Government as appropriate as to the current status of the scheme review and with an indication of timelines when this will be complete including any consultation processes that may be required.</p>						
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 emergency 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
<p>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.</p> <p>Suggest that the revised date is amended to March 2023 for the presentation of the draft document.</p>							

[illegible]

Tracker No / Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
T20-21/22 Audit:	2021/22 Scheme Review						
Objective 4:	Where any amendments are made to the Integration Scheme, an updated version is placed on the IJB's website.						
Findings:	The IJB website currently contains the original integration scheme which as stated above, remains in place until the time that a review is carried out with any potential successor scheme implemented. The Chief Officer will need to make the necessary arrangements for any future amended version of the scheme to be placed on the website as appropriate.						
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 emergency 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 touch 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 touch review was also completed through covid.

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

[illegible]

Appendix 3: Risk Categorisations

Grade	Description
Grade 1	<p>Critical – High Likelihood, High Impact (HH)</p> <p>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.</p>
Grade 2	<p>Contingent/Insurable Risk – Low Likelihood, High Impact (LH)</p> <p>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.</p>
Grade 3	<p>Housekeeping – High Likelihood, Low Impact (HL)</p> <p>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.</p>
Grade 4	<p>Value for Money – High Likelihood, Value for money impact (HV)</p> <p>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.</p>

